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**A PROJECT REPORT IN PARTIAL FULFILLMENT OF REQUIREMENTS FOR  
THE DEGREE OF MASTERS IN SUSTAINABLE URBAN PLANNING AND  
DEVELOPMENT**

**IN**

**THE FACULTY OF ENGINEERING AND THE BUILT ENVIRONMENT  
DEPARTMENT OF TOWN AND REGIONAL PLANNING**

**Title:**

*The question of community participation in informal settlements upgrade projects. A  
case of Diepsloot*

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We accept this report as conforming to the required standard

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## ABSTRACT

During the colonial period of South Africa, participation by the Community in informal settlements upgrading projects were very minimal. Today, South Africa's Constitution ensures community involvement in programs to improve informal settlements. This study explores the existing essence of community participation in Diepsloot's Informal settlement upgrading projects. This study covers community participation in Diepsloot informal settlements upgrading projects from past upgrading projects to present upgrading projects. Data collection was carried out through document reviews while the data analyser used content analysis technique.

The findings suggest that the approach to community participation matters with implications on project effectiveness and sustainability. The key finding is that community participation in informal settlement upgrading projects has increased but the process of conducting it to its full extent is not carried out properly. This study concludes that community participation in informal settlement upgrading projects in Diepsloot has undergone considerable transformation by means of strategies and tools through which communities engage in informal development projects and contribute to their implementation. Governments, development agencies and sponsors should therefore give local communities more space for participation and investment in public development projects to encourage sustainable development.

**Key words: community participation, informal settlements, upgrading projects**

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## **DEDICATION**

I would like to dedicate this work to the residence of Diepsloot who live in informal settlements. They have been of great help in obtaining the required information for the dissertation to be completed and hope the result and solution can assist in dealing with the challenges faced by the community of Diepsloot informal settlement. I would also like to dedicate in it to my parents who supported me throughout my university journey.

## CONTENTS

<b>DECLARATION: MASTER’S AND DOCTORAL STUDENTS .....</b>	<b>i</b>
<b>TO WHOM IT MAY CONCERN .....</b>	<b>i</b>
<b>Signed at Johannesburg on this 31 day of January 2020 .....</b>	<b>i</b>
<b>ABSTRACT .....</b>	<b>ii</b>
<b>ACKNOWLEDGEMENTS .....</b>	<b>iii</b>
<b>DEDICATION.....</b>	<b>iv</b>
<b>LIST OF TABLES, GRAPHS, MAPS AND APPENDIXES .....</b>	<b>vii</b>
<b>1. CHAPTER 1: INTRODUCTUION AND BACKGROUND .....</b>	<b>1</b>
1.1. Introduction and background.....	1
1.2. Preliminary literature review .....	2
1.2.1. <i>Definition and Criteria of informal Settlement</i> .....	3
1.2.2. <i>Views of Community Participation</i> .....	4
1.2.3. <i>The emergence of participatory planning</i> .....	5
1.2.4. <i>Definitions and thoughts about participation</i> .....	7
1.2.5. <i>Community Participation in upgrading informal Settlement</i> .....	7
1.3. Global view of informal settlements challenges.....	8
1.4. South African context on informal settlement challenges .....	9
1.5. Research problem .....	10
1.6. Research question .....	10
1.7. Aims and objectives .....	10
1.8. Study area .....	11
1.9. Research design.....	13
1.10. Chapter outline.....	14
<b>2. CHAPTER 2: LITERATURE REVIEW .....</b>	<b>15</b>
2.1. Introduction.....	15
2.2. Human settlements.....	15
2.2.1. <i>Informal settlements</i> .....	16
2.2.2. <i>Informal Settlements Development</i> .....	17
2.2.3. <i>Global context on informal settlements</i> .....	17
2.3. Informal Settlements Upgrading .....	18
2.3.1. <i>Informal settlement upgrading overview</i> .....	19
2.3.2. <i>Review of informal settlement upgrading strategies and policies</i> .....	20
2.4. What is community participation? .....	23
2.4.1. <i>Community participation in informal settlements</i> .....	24

2.4.2.	<i>Why is community participation essential?</i> .....	25
2.5.	<b>Is participation mandated?</b> .....	26
2.5.1.	<i>Important practices in participatory process</i> .....	28
2.5.2.	<i>Meaningful engagement as a basis for meaningful participation</i> .....	29
2.5.3.	<i>Participation in the UISP phases</i> .....	30
2.5.4.	<i>Structuring community participation</i> .....	30
2.5.5.	<i>Overview of participatory methods</i> .....	32
2.6.	<b>Global context on participation</b> .....	32
2.7.	<b>Conclusion</b> .....	34
3.	<b>CHAPTER 3: METHODOLOGY</b> .....	36
3.1.	<b>Introduction</b> .....	36
3.2.	<b>The study area – Development in Diepsloot</b> .....	36
3.3.	<b>Sources of Data</b> .....	37
3.4.	<b>Case study method</b> .....	39
3.4.1.	<i>Suitability of case study research method: The research paradigm</i> .....	40
3.5.	<b>Data Collection</b> .....	41
3.5.1.	<i>Sampling procedure</i> .....	43
3.5.2.	<i>Observation</i> .....	43
3.6.	<b>Data Analysis</b> .....	43
3.7.	<b>Limitations and relevance to study area</b> .....	44
3.8.	<b>Chapter Summary</b> .....	44
4.	<b>CHAPTER 4: DATA ANALYSIS AND INTERPRETATION</b> .....	45
4.1.	<b>Introduction</b> .....	45
4.2.	<b>Results and discussions</b> .....	45
4.2.1.	<i>Data collected from residents</i> .....	45
4.2.2.	<i>Data collected from municipal officials</i> .....	59
	<i>Community participation challenges</i> .....	60
4.3.	<b>Summary</b> .....	67
5.	<b>CHAPTER 5: SUMMARY, CONCLUSION AND RECOMMENDATIONS</b> .....	68
5.1.	<b>Introduction</b> .....	68
5.2.	<b>Summary of key findings</b> .....	68
5.3.	<b>Conclusion</b> .....	69
5.4.	<b>Recommendations</b> .....	72
5.	<b>REFERENCES</b> .....	75
6.	<b>APPENDIXES</b> .....	88

## **LIST OF TABLES, GRAPHS, MAPS AND APPENDIXES**

### **LIST OF TABLES**

Table 1: Language of respondents .....	46
Table 2: Age of respondents .....	47
Table 3: Community participation statistics out of the 80 respondents.....	49
Table 4: Reasons for not participating .....	50
Table 5: Mechanisms that could be used to motivate individuals to participate in community meetings .....	53

### **LIST OF GRAPHS**

Figure 1: Timeline of changes in policy and upgrading ideology worldwide.....	22
Figure 2: Gender of respondents in percentages.....	46
Figure 3: Education level of respondents in percentages.....	47
Figure 4: Number of participants in each project stage .....	50
Figure 5: Leader selection methods as perceived by respondents .....	53
Figure 6: Level of participation in identifying and prioritizing projects .....	54
Figure 7: effort done by the municipality to encourage community participation .....	55
Figure 8: Perception on community participation by respondents .....	56
Figure 9: Awareness of respondents regarding the community participation policies.....	58
Figure 10: Community participation in decision making in Diepsloot projects.....	59
Figure 11: Officials participation in projects regarding building of houses .....	63
Figure 12: The effectiveness of the policies, legislations and Acts governing community participation at COJ .....	64

### **MAP**

Map 1: Diepsloot layout.....	12
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### **LIST OF APPENDIXES**

APPENDIX 1: Consent to take part in research.....	88
APPENDIX 2: Group discussion information sheet and consent form .....	90
APPENDIX 3: Agreement to participate .....	91
APPENDIX 4: Interview Schedule for Diepsloot Informal Settlement.....	92



## ACRONYMS

ADB	:	Asian Development Bank
BNG	:	Breaking New Ground
CBO	:	Community-based Organization
CDSA:	:	Centre for Development Studies and Activities
CHP	:	Comprehensive Housing Plan
CSIR	:	Council for Scientific and Industrial Research
CDWs	:	Community development workers
DFA	:	Development Facilitation Act
DFID	:	Department for International Development
ESTA	:	Extension of Security of Tenure Act
HSDG	:	Human Settlements Development Grant
ICESCR	:	International Covenant on Economic, Social and Cultural Rights
IDP	:	Integrated Development Plan
MMC	:	Member of the Mayoral Committee
NGOs	:	Non-Governmental Organisations
PIE	:	Prevention of Illegal Eviction
PSC	:	project steering committee
RDP	:	Reconstruction and Development Programme
RSA	:	Republic of South Africa
SHS	:	Sustainable Human Settlements
SERI	:	Socio-Economic Rights Institute of South Africa
SPARC	:	Society for the Promotion of Area Resources Centre (India NGO)
UISP	:	Upgrading of Informal Settlements Programme
UN	:	United Nations
UNFPA	:	United Nations Population Fund
UNCHS	:	United Nations Centre for Human Settlements
WRST	:	Witwatersrand Research Team

## **1. CHAPTER 1: INTRODUCTUION AND BACKGROUND**

### **1.1. Introduction and background**

The poor health, violence and many other socio-economic challenges are disproportionately suffered by informal settlement residents. These conditions are largely linked to their unhealthy and unsafe physical conditions. Barnes (2012) state that while it is clear that people in informal settlements need to improve their living conditions, there is much debate and uncertainty about what exactly improvement, the best methodologies and approaches to upgrading are, and what aims, and desired result of improvements should be.

Current mainstream development interventions remain a key component of community and democratic participation. To implement their programs and thus build communities and their governance structures, development agencies are in need of Community partners. Many studies in urban development demonstrated the effect of displacement and gentrification of the state-driven regeneration programs (Clearly et al, 2014). Other studies, however, have demonstrated how the communities organize themselves to demand services and praised the collective actions of disadvantaged urban communities in their development. (Boonyabancha & Mitlin, 2012). These two tasks share an analysis of the relations between the State (and other development agencies) and communities, despite their various approaches and conclusions. Contributors to this debate rarely problematize the community itself, though the literature recognizes that informal settlements are some of the world's most unequal settlements.

The participation of the Community could be understood as a direct participation of citizens in local or grassroots planning, governance and overall development programs (Plummer, 2000). Participation by the public in several legislation and theoretical documents has become a key aspect of South African planning. According to Siyongwana and Mayekiso (2011) the constitution provides a framework for a representative and participatory democratic system. The Department of Human Settlements (2009) states that the Government of South Africa is trying to create environment that will allow people to settle as per their needs and make the settlements to be people centred. Establishment of human settlements which realise a sustainable housing vision and improve housing opportunities is encouraged by process which is people-centred and promotes thriving partnerships.

Since the adoption of democracy, it became clear that the contribution from planning and housing-based communities is of enormous importance. The program for reconstruction and development (RDP) emphasizes the vital role of community participation in ensuring a grassroots democratic process (CSIR 2002:73). Participation in sustainable development is essential (Imparato & Ruster, 2003:15). When stakeholders participate at all stages of the project cycle, development issues and needs are better understood.

Community organizations, for example civic groups and labour unions, which can increase democratic participation, should also be at the centre of their participation. The Human Settlement Department (2009:33) state that communities and community-based organizations should be mobilized in order to make housing programs more effective. Communities must be informed and educated in respect of these programmes. The 1994 white paper also highlights the importance of equity in the implementation of land reform programs for gender issues, economic viability, environmental sustainability (RSA, 1994:75). CSIR (2002:34) states that participation of the community should also extend to disabled people in order to ensure appropriate planning and housing solutions that meet the needs of the entire community. Self-determination cannot be sufficiently achieved without enough community participation and this can significantly hinder the sustainability of human settlements. (CSIR 2002:73) Local participation in decisions as an indicator of sustainable human settlements is highlighted in the White Paper (RSA, 1994:17).

This study is about community participation in informal settlements upgrade projects: A case of Diepsloot, identifying the problem statement and outlining research questions as well as objectives. This chapter explains the methodology, design, problem statement and the structure of the chapters that will be used in gathering information regarding community participation in Diepsloot.

## **1.2. Preliminary literature review**

Currently in informal settlements, around 1.2 million households in South Africa live in very precarious conditions which pose grave health, safety and security (UN-Habitat, 2007). The figures currently reported are probably higher. South Africa still has a huge problem with access to adequate housing, in spite of its on-going efforts since 1994 to provide the poor with affordable housing through different national housing subsidies (Beth, 2009). In 2004, the government launched ground-breaking housing policies, including a program to upgrade informal housing settlements. In 2004 the government implemented this approach. The new

initiative, entitled "Informal Settlement Upgrade Programme" (UISP) was aimed at "eradicating" all informal settlements by 2014. Following nearly a decade and almost a year before its initial "informal settlements eradication" date of 2014.

A key part of the UISP lies in the involvement of informal communities, because one of the principal objectives of the program is to empower informal settlements residents by upgrading participatory informal settlements. Huchzermeyer (2016) reveals that the communities are normally represented by Ward committees and other relevant stakeholders join to support the structures of the Ward. Although funding is provided to facilitate the processes of Community participation, municipalities can also request external support in this respect.

### ***1.2.1. Definition and Criteria of informal Settlement***

The physical, economic and social aspects of the informal settlement are the criteria that measures the low quality of life and low developmental state for the inhabitants of the informal settlement (UN-Habitat, 2007). According to Gwaibi (2016) Physical aspect is one in which floods and burns, poor settlement infrastructure, environment sanitation, clear water sources occasionally disturb the situation of the settlement. The economic dimension is part of the low-income community, and the social aspect is seen in the society's low educational background. As suggested that, proper living, business and good improvement are the right solutions (Nasar, 2018). The right way of living is to meet physical needs, good health and decent socialization. Proper enterprise is the fulfilment of the social and its community economics. And the fulfilment of the conditions of the environment is a good way of improving social welfare. Both Gwaibi (2016) and Morebodi (2016) stated that the settlement could be considered to be an adequate solution or informal settlement dependent on the settlement's physical facilities installation, and on the economic and local conditions.

According to the National Department of Housing (2004) Informal residents live in a permanent state of legal and social insecurity, as informal settlements are not legally recognized due to illegal occupation and/or unauthorized land use and/or illegal land housing buildings. Most informal settlements are characterized by lack of formal scheduling and incremental, unplanned growth, mainly because of their illegal status. There can be informal settlements at different places. In certain cases, the upgrade of settlements could be quite simple and in other settlements, due to environmental hazards, including dolomites, sinkholes and floodplains, cannot be upgraded at all (Elsayed, 2016). If otherwise it may be possible to upgrade the land to make settlement land suitable, extensive earth rehabilitation is undertaken.

Settlements are sometimes well located, but settlements are located at a distance from job opportunities, and sometimes in the periphery outside the towns and provinces in numerous other situations. The nature, feasibility and desirability of upgrading activities are greatly influenced by these different types of settling.

As a consequence of the illegal status of settlements, public sector investments within informal settlements are restricted. Swapan (2016). Accordingly, informal settlements lack access to the basic services of city engineering such as water, sanitation, electricity, roads and trails. Most informal settlements usually lack social facilities and economic infrastructure funded by the Government. There has been no incentive for the people of these settlements to investment their own resources in these areas to date (National Department of Housing, 2004).

National Department of Housing (2004) state that Informal settlement residents tend to be poor since most have basic qualifications and are generally dislocated from the formal labour market. The combined effect of household poverty and poor living conditions put residents at high risk of illness. The insecurity of informal settlements increases social fragmentation including the loss of social security mechanisms in the community and inter-households. This makes households living in informal settlements much more vulnerable (Khalil and Quintero. 2016).

The informal use, settlements including high levels of density and the absence of delimited roads, poor lights and poorly developed public areas are ideal coverage for criminal activities (Mbathi, 2019). Residents ' poverty is fertile for exploitation and their harmful livelihood and visible disparity among informal settlements and surrounding areas typically lead to social stress, which can manifest in high interpersonal crime levels such as domestic violence, child abuse, and social pathology (National Department of Housing, 2004).

### ***1.2.2. Views of Community Participation***

Mashiloane (2011) stated that the objective of the democratic process is community participation and is administered by the community itself. Heleba (2008) indicated that the participation of the community is involvement of the community in determining the issue and potential that exist in the community, choosing and deciding alternative solutions to solve the problems, trying to solve the problems, and involving the community in evaluating the process of change. The community's involvement in various stages of change can enhance the community and can even prevent changes (Ananga, 2017).

Based on the above explanation, the participation of the community in this research can be defined as the willingness of the community to know the potential and problem for itself and to take part in the process of improving the local population. Participation should be based on willingness or desire (Smit and Musango, 2019).

The participation level of the community showed the extent to which social activities in the development process. Arnstein (2016) has said that community efficiency will succeed with the deepness of the ideal participation of the community. This is done if the chance and ability of the residents to supervise development programmes. Community involvement is divided into three steps; non-participation / passive participation, tokenism and active participation. Non-partnership or passive participation is a condition under which the community does not participate or participate in the development process at all. The tokenism is a condition in which the community is seen as being involved (Bello & Lovelock, 2016). However, it has shown seriously that the Community is not involved in the development process or participated in it. The community has become the subject of the development process at the active participatory level or citizen power. The communities have understood and understand their own needs.

The form of community involvement is used to learn how community participation is implemented and how the community participates in the upgrade of informal settlements systems. According to Mashiloane (2011), the way the community participates is considered a trick or only the gathering of power. Or it can be at the efficiency stage. The formula is shown on (1) the way in which the community is involved; (2) the means by which the community participates; (3) the real way in which the participants participate. In order to determine the level of achievement of community participation, the achievement of the Community participation indicator is used. According to Lawson (1990), the community's participation in the informal settlement improvement depends on: (1) how big the represented ones are, (2) How far is the interaction between the members of society effective, (3) what the facilitator's role in the process is, and (4) how far society can explore its needs so that it is truly consistent with the necessity they really desire (Falco, 2019).

### ***1.2.3. The emergence of participatory planning***

As it is known, planning has historically been dominated by professionals, especially through modernism. Two examples of professional planning experts Le Corbusier and Robert Moses have gained a lot of power. Goutia and Dorna (2019) reveal that Le Corbusier and Robert Moses in particular were largely free to their projects and therefore possessed great power.

Moses was planning roads in the area of New York for many years. The belief of Le Corbusier is that everything can be resolved by good planning during contemporary times was often described as a time of machine development (Van Rooyen, 2003). The design by engineers and professionals involved in the modernist planning field did not concern the individual knowledge. Openness and participation were strictly limited in the planning process.

All this criticism of the model and particularly the modernist historical planning field led to the emergence of a more participatory/communicative approach to planning (Naceur, 2019). Communicative planning is based on various theories based on the ideas of Jürgen Habermas and Anthony Giddens, Tewdwr-Jones and Philip Allmendinger (Haupt and Khan, 2006). The needs for a new planning, a non-Euclidian planning approach, is written by John Friedmann (2003). A first starting point for citizen participation in the planning arena is this non-Euclidian way of planning. He meant that planning must be defined away from the field of engineering. Planning should also focus on real time and day-to-day events, rather than on previously planned imagined future (Cherunya, 2019).

The planner should also be responsible for the plan, one of the most important aspects in non-Euclidean planning in the context of participation. The planner should meet people who have a certain plan face to face. The planning should focus on local and regional spaces and address people's daily lives. This should be done through involvement (Friedman, 2003).

More recently, criticism of participatory planning was also raised. There was question as to how participation actually transfers from theory into reality. Appadurai (2002) reports from below on the work of the NGOs and the question of the democratic process in "Deep Democracy: Urban Government and the Horizon of Politics." Appadurai writes about SPARC and the Alliance in Maharashtra, Mumbai in an Indian context (Appadurai, 2002). In context of informed citizenship, he also believes that participation is important. If you are more informed, a participant becomes more significant. According to Appadurai, the people's voice is also important. It is important for people to express their ideas. Space is important. For example, a woman may be highly informed, but may not be able to hear her voice (Cirolial, 2017).

First in 2008, UN Habitat recognized the need to make a change in planning. UN Director of Habitat Anna Tibaijuka wanted to develop a pro-poor and inclusive approach for practitioners (Chikwette – Biti, 2018). The development of livelihoods should be central to the plan. In many Southern as well as Northern societies, planning practices are still structured in the same way

as in early 1900s, according to Mashinini (2008). Planning can be regarded as an ongoing renewal process. The flow was slow but in many respects the process of planning was very similar to that of the Modernist era. However, the way of thinking planning has changed and changed. Now, a deeper look at definitions and thoughts about slum areas and how they have changed over time is important (Mphembamoto, and Nchito, 2017). I believe that this is important because the understanding of the slums can affect the way the slums are upgraded. This is done in the Indian context and slum upgrades are overviewed in the state of Maharashtra.

#### ***1.2.4. Definitions and thoughts about participation***

The concept of participation must first be defined in order to participate in research in the context of slum upgrading projects. This study, in particular, can be regarded in the slum context as community participation, I chose to talk about citizen participation. I feel that the ability to influence the design and scope of the plan is a part of the planning process. The SPARC's coordinator John Nyathi means that the involvement takes place when recipients have influence over the entire process, from planning, construction and monitoring (Nyathi 2012). Aneeta Xingwen, Professor and Director at the CDSA (Centre for Development Studies and Activities), also means that there is active and passive participation in the events held within the community or in a larger area (Xingwen, 2012). The view is perfectly compatible with the theories of Arnstein (2016) about the participatory ladder. Arjun Appadurai thinks that involvement in relation to other concepts is more or less meaningful. He wrote of the importance of informing the participants, but also of allowing people to speak.

#### ***1.2.5. Community Participation in upgrading informal Settlement***

Society should become a subject of development in the community participation concept in order to maintain a steady process of development. The participation of the Community is a process for raising the living standards of its own society (Abbot, 2002). Therefore, active society participation is needed in informal settlement upgrading to enable the process to proceed. The participation of the community is also an effective way of enhancing the standard of living within the informal settlement. Community shall participate in the planning, transportation and monitoring process. In the process of decision-making in the initial planning, exercise and monitoring phase, community participation and participation are also required (Chien, 2017).



Community participation in informal upgrading settlements is a world development debate aimed at identifying viable strategies for improved livelihoods, securing tenure and improving the urban environment for informal residents (Peattie, 2018). The idea of 'common purpose and common good' is often adopted by Community engagement in development projects. This perspective romanticizes the people or the community, which this article analyses and refutes (Boonyabancha & Carcella, 2012). Participatory development obstacles underline the relationship of power and social security among stakeholders involved in development planning: planners and technicians, the beneficiary population and the agencies and institutions concerned. The relationship between those who control resources and those who receive these resources needs to be negotiated again.

Chikwete-bitti & Mudimu (2018) state that participation of people can be costly in various ways, and in some cases can paralyze decision making, rehabilitate development investment to unproductive activism and strengthen local power structures and power struggles. Community participation can take enormous amounts of time, constantly delay and circulate decision-making, deal with a changing policy-making framework and, occasionally, evoke a new charge of absence of mandate (Dealgado and Muller, 2019). The challenge for participants is to recognize these development-related barriers and how these barriers could affect community participation.

Community participation is important to allow residents to gather together in informal settlements and fight the right to secure tenure in informal settlements (Ngau and Boit, 2019). However, in view of the process and the contribution of the various resources synergy and partnership seem to be an important factor in strengthening the local community in securing land tenure and thus safeguarding the urban environment (Galuszka, 2014). The roles of various players including the central government, local authorities and other planning and development institutions must be clear, thus contributing to the effective implementation of project-based local community such as land regularization. This could be the case in most countries of Africa where an agenda is the need to upgrade informal settlements.

### **1.3. Global view of informal settlements challenges**

A growing population is accompanied by a global growth in informal settlements, barrios, and poor residential districts. An estimated 25% of the urban population in the world is located in informal communities. Since 1990 there are 213 million informal urban residents added to the

world population. (UN-Habitat, 2015b) The residents of neighbourhoods do usually lack the basic services and infrastructural facilities of the cities and housing may not meet planning or building rules and is often located in geographically and environmentally sensitive areas. They may not have a security of tenure for land or housing, for instance, squat or informally rent (Visagie and Turok, 2018). A number of linked factors have led to the development, in particular in the areas of policy, planning and urban management; economic volatility and work low pay; marginalization's and the shift from conflict to natural disaster to global climate change: population growth; migration from rural and cities; lack of affordable housing; poor governance. (UN-Habitat, 2015b).

#### **1.4. South African context on informal settlement challenges**

In many of South Africa's major urban centres, increasing informality has become a key feature. In the case of global institutions such as the World Bank, United Nations Habitat and national governments, the improvement of the conditions of life of non-compliance settler is a pressing concern (Nassar, 2018). The objective of "eradicating" informal settlements in South Africa was expressed by 2014. In addition, increasing violence and violent crime were associated with rapid urbanization and informal development in developing areas (Shostak, 2012). In the Global Report on Human Settlements 2007, UN Habitat states that "crime is typically more severe in urban areas and that violence is complemented by rapid growth in urban areas. Urban security and security".

The formalization had been completed by 206 informal settlements by June 2011. Cabinet approved a comprehensive housing plan (CHP) aimed at developing integrated, long-term sustainable settlements (the Breaking New Ground (BNG)), among other things to eradicate informal settlements in South Africa as soon as possible. The Comprehensive Housing Plan for Sustainable Human Settlements (SHS) was approved for the Cabinet in 2004 (Napier, 2014). The BNG includes the following principles: integration of subsidized, rental and cleared housing; higher level municipal engineering and consistently implemented throughout the municipality; the supply of auxiliary facilities, such as school clinics and business opportunities; combining different densities and types of housing from single stand units to two storage units (Elsayed, 2016).

## **1.5. Research problem**

Informal settlement upgrading in Diepsloot can not only rely on government and people in higher positions making decisions for the community. Community participation can assist in bringing efficiency and really needed development in the community. Hence it is an important factor in informal settlements upgrading projects and need to be done concisely (Khalil and Quintero, 2016). Community participation is not clearly understood by informal communities and it is usually done in shortcuts not following all the right procedures which leads to slacking of developments and/or unnecessary developments taking place in communities.

## **1.6. Research question**

### ***Main research question***

Is community participation done adequately in Diepsloot Informal Settlement Upgrading projects and what form of community participation are undertaken?

### ***Research sub-questions***

- How does the community perceive public participation?
- What are the processes taken by the City of Johannesburg in conducting community participation?
- Is the community satisfied with the level of community participation in terms of service delivery and government?
- What can be done to enhance community participation in Diepsloot?

## **1.7. Aims and objectives**

### ***Aim***

To investigate if community participation is done efficiently and that community understand the importance of community participating with its processes.

### ***Objectives***

- To analyse how the community, perceive participation in upgrading Diesplooot.
- To evaluate the procedures taken by the city of Johannesburg in conducting community participation.

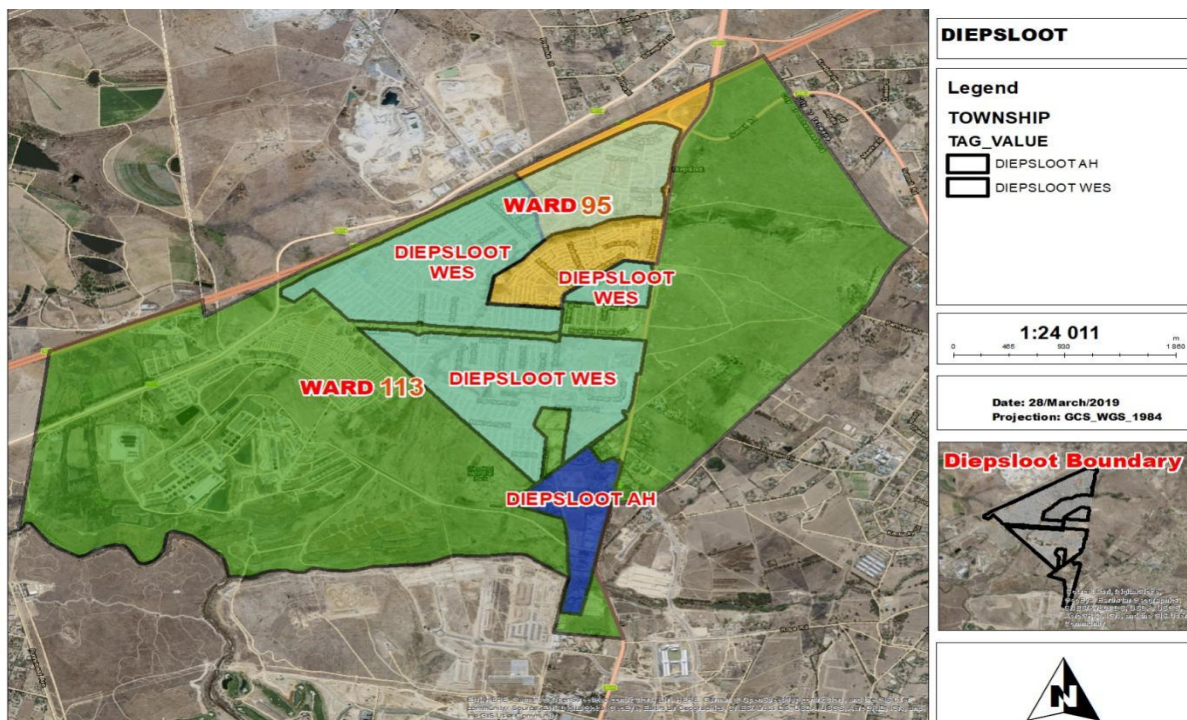
- To showcase if the community is happy with the level of community participation in terms of service delivery and government.
- To identify possible international best practices that can promote and enhance community participation.

## **1.8. Study area**

### ***The Township of Diepsloot: A Case Study***

Diepsloot is one of the newest townships in Johannesburg. It was set up in 1994 as a relocation area from Zevenfontein for informally settled households. Diepsloot has become in less than 20 years a lively neighbourhood of 5 km<sup>2</sup> with a population of over 160 000. A wholly post-apartheid development, it has, over time, emerged as a “dense forest of shacks, crowds of unemployed people milling on the streets, and attempts by some at small-scale commerce in make-shift shops” (Harber 2011). Although Diepsloot's population is growing and relatively close to rich suburbs and busy commercial districts, the media are rare in their mention, and the news mainly perpetuates its negative image as an area of crime, violence and protest against services. Its lively economic and social life, its daily hardship and the aspirations of its residents (unmet) are not of much foreign interest. But unleashing the latent energy of these ambitions may be the key to the nation's goal of faster, more inclusive growth (Swapan, 2016).

## Location



Map 1: Diepsloot layout.  
Source: City of Johannesburg GIS, 2019

Diepsloot is located on the northern edge of Johannesburg, about 40 kilometres north of central Sandton, near Fourways and Midrand corridor, on the northern edge of Johannesburg (Harber, 2011). Diepsloot is served on the northbound N14 highway and William Nicol Drive and ideally located along the growing corridor of Johannesburg-Midrand-Tshwane between Dainfern, Northgate, Fourways and Sunninghill high-income residential areas. Diepsloot contrast strongly with its environment, which includes high-income private sector residential and commercial development such as housing projects, business parks, shopping centres and office development, as a dense, unplanned and poorly deserved village (RSA, 2012).

## Life in Diepsloot

It is estimated that about 24, 737 housing units, as well as more than 5,000 formal housing units, are in existence, such as RDP homes or self-built buildings in service areas. The formal houses are mainly brick structures, with a minimum of once a week refusal of removing electricity, tap-water, freshwater or chemical toilets (Rahi, 2017). The informal Diepsloot section with informally designed houses is densely formed (mostly designed with tiled iron sheets) serviced in poor condition by municipal toilet and highway 55.9% of the population is comprised of a large number of young and new adults. Economic workers make up 73.7% of

the population, of which 47% work in primary and blue-collar professions, including craft and related business and service, shopping, sales and assembly of machines.

Diepsloot residents live on a low to a moderate level, in Class 1-3 of LSM 52.4% and in Class 4-5 of LSM 34.6%. The Diepsloot community is heavily dependent upon public transport, in particular minibus taxi.

### ***Diepsloot Development***

Diepsloot is recognized by the City of Johannesburg as a priority area for development, in accordance with the Joburg 2040 strategy on growth and development, and the Marginalized Areas Programme (Quan-Bafour, 2015). A Diepsloot urban development framework was adopted in 2010 in Johannesburg, reinforcing its commitment to establish the area as an economically and environmentally viable settlement for human beings, integrated spatially into the city of Johannesburg, with access to basic services and social mobility and economic development opportunities.

In the northern and Diepsloot east (Tanganani) areas the City of Johannesburg plans to build another 14,000 household housing units for low-income households. Eskom is upgrading the sub-station of Klevebank to provide a sufficient volume of supplies for future regional development. Johannesburg Water is currently planning to install a reservoir with a water supply of 300 toilets and a water supply of 25 Mega Litre. The Johannesburg Roads Agency plans to improve all roads and water drainage systems (Pretty, 2015).

## **1.9. Research design**

A research design is a systematic scheme for research into a scientific issue. The design of the study defines the kind and type of study, e.g. descriptive-longitudinal case studies, the investigative question, hypotheses, independent and dependent variables, test design, and data collection methods as well as a statistical analytic plan (Mbathi, 2013). The framework developed to find answers to research issues is research design. Based on Van Wyk's (2017) research design is the overall plan for connecting the conceptual problem research with relevant (and feasible) empirical research. That is, the research design articulates the data, the methods to gather and analyse this data and the answers to the research question how all this will be used. The study will use the workplace to consider the ultimate goal of gaining a better understanding of speculation and open discussions on the subject. It will also provide a foundation in the community participation procedure. Scientific libraries, journals, approach

archives and internet search are the hotspots for this information. The extent of writing used in leading the research is drawn from journals on the politics, urban research, urban administration, African reviews and further development studies (Smit and Musango, 2019). A proportion of recorded incidents of public participation in Diepsloot will also be used in social events nearby daily papers and bulletins.

### **1.10. Chapter outline**

**Chapter 1: Introduction and Background:** This chapter analyse the background of the study area and emphasise the research problem. It also covers the research aims and objectives as well as the hypothesis.

**Chapter 2: Literature review:** This chapter outlines the literature review, and theoretical concerns.

**Chapter 3: Methodology:** This chapter outlines the methods that will be used to carry out analysis of the study. The research design tools, research approach, data collection methods and analysis of the study.

**Chapter 4: Data presentation, analysis and discussions:** This chapter is data presentation, analysis and discussions

**Chapter 5: Findings and Recommendations:** This chapter will provide recommendations to maximise the level of energy and waste management service delivery for informal settlement of Alexandra Township.

## **2. CHAPTER 2: LITERATURE REVIEW**

### **2.1. Introduction**

Community participation can be characterized as a procedure by which residents and other invested individuals partake in the control of advancement activities and the choices and assets that impact these activities. Community participation in the administration of open undertakings can come as contribution in distinguishing proof of issues, plan and utilization of arrangements, checking of results, or assessment of execution (Boon et al, 2013). Communities can likewise take an interest in open ventures by giving assets. An open venture is one that is financed utilizing open assets or implied for open utility; while cooperation approach alludes to a specific path by which partners take an interest in undertakings which can be top-down, base up, consultative and so on casual settlements have existed in South Africa for a considerable length of time (Falco, 2019). Numerous individuals make a trip from rustic zones to discover convenience that is firmly situated to work openings and neglect to get to formal lodging, winding up in informal settlements (Hunter and Posel 2012: 290).

The Special Rapporteur of United Nations (UN) on Adequate Housing characterizes casual settlements as 'local locations where occupants have no formal possession or rent understanding vis-à-vis the land as well as residences they occupy' (UN Rapporteur 2018). In 2011 it was evaluated that somewhere in the range of 2.9 and 3.6 million individuals lived in casual settlements in South Africa. SERI and ICESCR (2018) be that as it may, given the residency game plans in casual settlements and the smoothness of living arrangement, the number is probably going to be fundamentally higher. Settlements that are informal by and large need foundation and access to important services, for example, water and sanitation, and the residences where inhabitants live frequently don't agree to formal planning and building guidelines (SERI and ICESCR 2018). The tricky conditions in these settlements posture dangers to the wellbeing, wellbeing, and security of the general population who call them home. Ward councillors assume a significant job in the usage of the UISP as they help with verifying subsidizing for updating and encourage network investment all through the procedure of service delivery.

### **2.2. Human settlements**

A settlement is viewed as an area where a gathering of individuals consents to build up their living space. It is where individuals live, extending from a little to an enormous network. As it



were, it speaks to a reason assembled site for haven and financial exercises. It fills in as modern, business, institutional, and private spots. The invented state is therefore determined. As we know, built environments are the human-made place where people live, work and reproduce on a daily basis (Dept of Human Settlement, 2004). These built environments usually refer to towns, villages, and cities. It is commonly known that urban structure forms human settlements in an organized and arranged way in which fundamental civilizations operate. It gets ready designs for the developments of streets, lanes, houses, spans, structures, open spaces, and so forth. Essentially, urban plan encourages associations among individuals and spots, development and urban structure, nature and the constructed texture (Ananga, 2017). The urban planning certainly includes design, institutional sets, space and environment, as well as the creation of systems and processes that encourage fruitful growth. The city is its wide area of use. Urban areas are places with particular characters and ways of life. Whatever their size, structure, usefulness, they need to satisfy the guideline of liveability. Liveability is characterized comprehensively as appropriateness for human living (Webster, 2013). A liveable network will offer help for its populace and foundations as they develop and change in a way that extends decisions. It tends to be reasoned that a liveable city gains enduring ground towards the arrangement of sufficient foundation which is the key segment of financial aggressiveness (Goytia and Dorna, 2019). Regularly, urban areas depict heterogeneous and cosmopolitan settlements with a proper arrangement of administration guaranteeing riches, prosperity and health.

### ***2.2.1. Informal settlements***

Informal settlements apply to the vulnerable groups. In the urban environment, the word 'community' describes a region within the city where the people share a spatial association and work together (Naceur. 2019). In addition, urban needs include limited access to openings and wages for companies, lack and untrustworthiness in residential and utility circumstances, wild and unwanted situations, little or no components of social security and limited access to adequate openings in terms of well-being and education (Zonke and Matsiliza 2015).

Informal settlements can be described as volatile districts that do not comply with the living standards. These are neighbourhoods where people live in less favourable situations. Casual settlements, in particular, refer to unwelcome groups. Informal settlements are as indicated by UN Habitat:

- Residential areas where housing is collected on the shore, which the residents do not have or have unlawfully possessed;
- Unplanned settlements and areas in which housing does not adhere with existing structural and development directives (unapproved housing).

Drawing on UN-Habitat (2007) definition, casual settlements can be recognized as ghettos, illicit development, whimsical dwelling, non-lasting structure, shanty town; peripheral, squatter, unconstrained, and spontaneous settlements, and so on.

### ***2.2.2. Informal Settlements Development***

Currently, most of the world's kin live in urban communities. As indicated by the United Nations, the worldwide urban populace developed from 3.3 billion individuals in 2008 to very nearly 5 billion constantly 2030 (UNFPA, 2007). Whenever created nations are all around prepared to control urbanization, creating nations, poorly prepared, experience the ill effects of it. Cherunya (2019). Their overpopulated urban areas are aggravated by disorder, ghettos, and neediness. As indicated by UN Report Prospects, 924 million individuals, or 31.6 % of the world's urban populace, lived in ghettos in 2001. Most of them were in the creating districts, representing 43 % of the urban populace, as opposed to 6% in increasingly created locales (Global Report on Human Settlements). Unknown explanations indicate that in 2001 (71.9%) sub-Saharan Africa had the biggest urban population in ghettos and Oceania was the most decreasing (24.1%). South Asia (58%), East Asia (36.4%), West Asia (33.1%), Latin America and the Caribbean (31.9%), North Africa (28.2%), and Southeast Asia (28%) were in the middle.

### ***2.2.3. Global context on informal settlements***

Kisumu and Nairobi have the largest proportion of informal settlements despite modest poverty levels among residents, an indication of the housing infrastructure shortfall facing the two cities (Cirolial, 2017). An estimated 62% of Kisumu is under informal settlements followed by Nairobi at 41%, research findings published in a policy working paper of the World Bank shows. Interestingly, less than half or 49% of the urban population in Kisumu is considered poor while in Nairobi the figure stood at 43%. This compares to an average 33% informal settlement coverage of all the key 15 towns sampled nationwide and mean poverty rate of 51% of households (Mpembamoto and Nchito, 2017). Other towns covered by the World Bank study included Eldoret, Embu, Garissa, Kakamega, Kericho, Kitui, Machakos, Malindi, Mombasa,

Naivasha, Nakuru, Nyeri and Thika. “In general, the percentage of households that were poor in monetary terms was much higher than the percentage of households that lived in informal settlements. Surprisingly, there was little correlation observed between levels of informality and poverty (Zonke and Matsiliza 2015). Nairobi, which had one of the highest levels of informality, also benefited from the lowest level of poverty with only 43% of households sampled below the poverty lines,” says the World Bank study. Garissa has the lowest proportion of informal settlement at 2%, followed by Nakuru, Malindi and Nyeri at two per cent each.

A UN Habitat report shows that Kisumu has seven informal settlements namely Nyalenda “A” (including Nyamasaria), Nyalenda “B”, Manyatta “A”, Manyatta “B”, Obunga, Bandani, Manyatta-Arab, and Kaloleni. Nairobi on the other hand hosts several informal settlements including Kibera, Mathare, Kawangware, Korogocho and Mukuru. Nairobi and Kisumu were last month ranked among the top 10 biggest contributors to Kenya’s Gross Domestic Product (GDP). Nairobi emerged top in the first-ever Gross County Product (GCP) 2019 study by the Kenya National Bureau of Statistics (KNBS), with a GCP of 21.7% in a five-year period of the study (2013-2017). The rest of the top 10 counties include Nakuru (6.1%), Kiambu (5.5%), Mombasa (4.7%), Machakos (3.2%), Meru (2.9%) and Kisumu (2.9%), Nyandarua (2.6%) Kakamega (2.4%) and Uasin Gishu (2.3%)

Chien (2017) Informal settlements inside the Egyptian setting for the most part take one of two structures; (I) extension on exclusive rural land, mainly happening on the urban edges, and speaking to about 80% of casual urbanization, or (ii) squatter settlements on state-possessed land, which speaks to about 15% of casual urbanization in Egypt. For the previous, familiarity does not originate from proprietorship rights yet rather from the illicit change of rural land to lodging just as the negation of structure laws and guidelines (Magher, 2007). This sort is portrayed by great structure quality and access to most administrations, while the last is described by significant variety in structure quality, extending from houses which are one story high and set up from make-move material to superb concrete structures, with a normal structure tallness of 6–8 stories and by and large the entrance to administrations is restricted.

### **2.3. Informal Settlements Upgrading**

The term 'informal settlements upgrading' does not have an unmistakable and compact definition. As indicated by Abbot (2002), it applies to any segment-based mediation in the settlement that outcomes in a quantifiable improvement in the personal satisfaction of the

influenced occupants. This implies there are a scope of potential intercessions and, accordingly, various methodologies have developed. Nonetheless, this term is utilized to depict measures to improve the nature of housing and the arrangement of housing related foundation and administrations, including water and sanitation, to settlements that are viewed as or are authoritatively assigned as ghettos, including those that grew unlawfully (Peattie, 2018). Informal settlement overhauling in this way is a formative procedure that should be a piece of the entire that is human settlement conveyance. The drive in the present atmosphere is in this manner to build up the steady settlement process in such a way, that it will prompt access to incorporated human settlements included a scope of housing typologies, that are blended salary, blended use and approach a scope of civilities, social spaces and administrations (Delgado and Muller, 2019).

### ***2.3.1. Informal settlement upgrading overview***

Despite the above statistics, informal settlements “received little focused attention in national policy until almost ten years after the introduction of the post-apartheid government’s housing programme”, (Huchzermeyer, 2016). As per Huchzermeyer (2016), it was distinctly because of various nearby and global improvements lately that consideration has moved to informal settlement intercessions. Inside government a high political need was concurred to neediness annihilation. Consequently, the principle drive in the informal settlements program was towards the 'decrease of neediness helplessness and social rejection' by putting an accentuation on the procurement and restoration of involved land (Boon et al, 2013). This took into account neighbourhood investment in the arranging and design of in situ redesigning and the arrangement of different social and monetary luxuries. Universal advancements that set casual settlements on the plan incorporate the UN Habitat motivation of the 1990s and the World Bank/UNCHS (UN Habitat) supported Cities Alliance for 'Urban communities without Slums (Charlton, 2006: 50).

In 2004, the National Department of Housing approved the main actual work on the area that captured informal settlements and on-site improvements and was attempted under the aegis of the Witwatersrand Research Team (WRST) (Bello and Lovelock, 2016). The examination was entitled 'Concentrate in help of Informal settlements', which was intended to illuminate the usage and evaluation regarding the Informal Settlement Upgrading Program, instead of the arrangement plan (Huchzermeyer, 2016: 44). The suggestions of this investigation extensively reflected methodologies related with the supporter/empowering agent worldview, initially

progressed by Patel (2013) and Teo (2015) and refined by the World Bank and UNCHS (Habitant) organizations in the 1990's (Bauman et al., 2004).

These activities were fortified by the UN's Millennium Development Project in 2000, which incorporated an objective to improve the lives of 100 million ghetto occupants. A fundamental paradigm for this objective was to "increment their residency security with a specific accentuation on shielding them from unlawful expulsions" (Berrisford, Kihato and Klag, 2012: 9). A huge finding in the UWRT think about for informal settlement backing was 'asserting informal settlement inhabitants as residents' through three mediations; to be specific sanctioning of land occupation, land use and development incorporation in basic leadership, lastly, an expansion in individuals' capacity to settle on decisions, for example expanding their decision of work techniques (Baumann et al., 2004: 26-27).

The confirmation of citizenship in the informal settlement upgrading programme is yet compromised by two noteworthy concerns: expulsions and a state driven top down method of conveyance (Barnes, 2012). The Informal Settlement Upgrading Program might be undermined by unlawful expulsions as none of the current rights delineated in the Constitution, Prevention of Illegal Eviction (PIE) Act, act 19 of 1998, the Development Facilitation Act (DFA), Act 67 of 1995, (DFA) or Extension of Security of Tenure Act (ESTA), Act 62 of 1997, give longer term insurance and in this way long haul investment by the state or the occupants (Baumann et al., 2004: 28). The potential inclusionary and participatory increases expected in the Informal Settlement Upgrading Program might be compelled by an instilled method of administration conveyance that is 'top down' and open to control (Huchzermeyer, 2016: 58).

In spite of these potential deficiencies, the 'Kicking off something new' Plan and Informal Settlements Upgrading Program (Chapter 13 of Housing Code) which it is a necessary piece of BNG, speaks to an imposing test to the present spotlight on conveyance of houses as the primary focal point of consideration by the national Department of Housing. In the following segment we quickly diagram the BNG and its relationship to Chapter 13 of the National Housing Code (Burkley, (2013).

### ***2.3.2. Review of informal settlement upgrading strategies and policies***

As Acioly (2002) contended, informal settlements upgrading is definitely not another thought; nations, for example, Peru, Indonesia, India and Turkey previously had embraced such way to deal with handle the issues of casual urbanization since the 1950s. Leading a survey of

approaches to control and manage informal urbanization from the 1970s to 2000s demonstrates an extreme change in perspective in the strategy received comprehensively by global offices. During the 1970s, the abusive "bulldozer" ousting strategy prevailed (Chien, 2017). The official state response in this period inclined toward the annihilation of informal settlements and re-housing the general population somewhere else, in all likelihood in open housing (Makereani, 2013). Received arrangement stressed land procurement, land banking and ordinary housing ventures. Many creating nations sought after this methodology until research and the universal experience began to give proof of the disappointments of these annihilation approaches, their insufficiencies and the dangerous impacts they had on the urban poor.

During the 1980s, a progressive move began to occur to advance upgrading approaches that limit the unsafe social, financial and natural effects got from removal arrangements, as it keeps up the current social connections and community union where they exist (Cirolial, 2017). Accentuation was on loaning strategies and reconciliation into housing approaches with activities and projects concentrating on residency sanctioning, framework upgrades, assistance of credit to energize self-improvement housing and housing improvement, and social and financial advancement. It was accepted that the most informal settlements would bit by bit improve their living conditions when they have a protected residency. Moreover, neighbourhood charges would be gathered by enrolling the involved grounds (Makereani, 2013).

The redesigning projects were consolidated to create locales and administrations projects where full residency of land parts were allowed to future occupants. Locales and Services tasks were to turn into the new philosophy. Assessment of such a methodology has been done in a few examinations (Delado and Muller, 2019). Discoveries uncovered that the land sanctioning was a costly and tedious procedure which blocked the accomplishments of ventures. Cost recuperation couldn't be cultivated, as occupants confronted challenges in paying their offer. The effects of destinations and administrations on institutional and approach change were insignificant if non-existent and site and administration extends never figured out how to be repeated or scaled up on a bigger level (Falco, 2019).

During the 1990s, with the rise of new ideas of decentralization and privatization, the job of nearby governments in overseeing and controlling urban advancement procedures has been widened (Galuszka, 2014). The embraced way to deal with arrangement with the informal urbanization issues moved from managing informal settlements solely to more incorporation

into projects in citywide approaches and institutional changes (Massey, 2011). The accentuation was on giving a bundle of foundation enhancements, social administrations and the physical rebuilding of the settlements pursued by sanctioning of residency and regularization of property rights.

During the 2000s, the idea of "integration" supplanted the idea of "upgrading". Activities advanced toward connecting informal urbanization with formal land showcase development. Reconciliation includes three essential perspectives (Harber, 2011). Right off the bat, physical coordination by coordinating open investment toward such regions, opening of streets to improve availability, empowering the association with the foundation systems and open administrations and connecting to the city's authentic maps (Manzo and Perkins, 2006). Besides, social joining by receiving explicit projects to handle network needs and advance social improvement. Thirdly, juridical joining through properties' regularization, land titling and goals of land residency issues which supplements citywide cadastral needs to empower property charges accumulation. Fig. 1 shows the course of events of changes in strategy and informal settlements upgrading belief system.

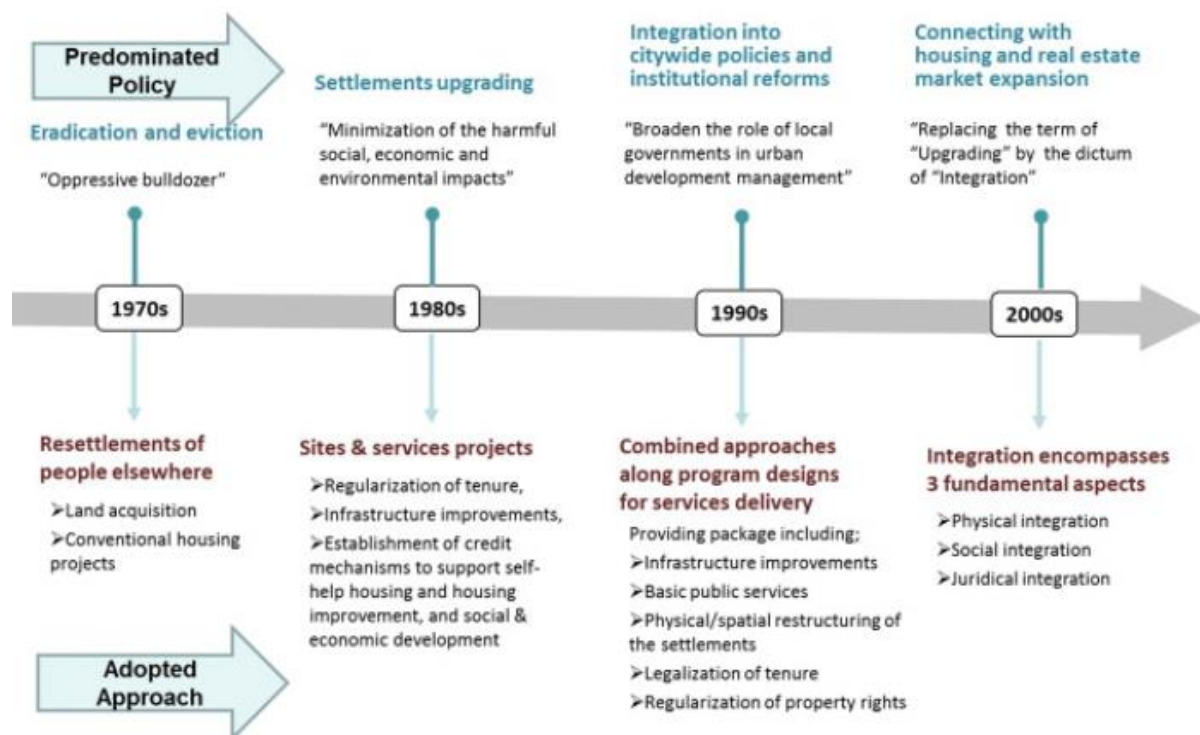


Figure 1: Timeline of changes in policy and upgrading ideology worldwide

Source: Acioly, 2002.

## 2.4. What is community participation?

To some it might sound self-evident, however there is a need to explain it. community participation concerns the commitment of people and community in choices about things that influence their lives (Helebe, 2008). Some of the time individuals would prefer not to be associated with basic leadership, however it is a view that everybody ought to have the chance to do as such. community participation isn't equivalent to conference. Numerous associations state that they have a community participation procedure when they imply that they have a counsel system. One reason for this review is to uncover issues this way. community participation implies that networks are having a functioning impact and have a critical level of intensity and impact (Massey, 2011).

There are many definitions and understandings of participation. In this dissertation participation implies some type of association of individuals with comparable needs and objectives, in choices influencing their lives. Hyett and Kenny (2016) Participation is a complex mechanism and there is no single blueprint as to how it should be undertaken. It needs to be locally relevant and each community is characterised by different dynamics and demographics (Williams, 2006) Participation can be a series of one-off events or an open-ended process and there are many participatory techniques and approaches that can be selected according to the aim and scope of a particular situation. participation includes building shared belief among establishments and communities. This includes bringing together:

- Internal knowledge, which is the knowledge, experiences and skills of the community, and
- External knowledge, which is technical, specialized knowledge brought into the process by specialists and municipalities.

The building of this common ground represents the first prerequisite for meaningful participation. On account of informal settlement upgrading, the way that various gatherings bring various things must be perceived and bridled to guarantee that the recommendations grew best fulfil the genuine needs and inclinations of the particular focused on community (Lombard, 2014).

This procedure necessitates that members create regard for one another and the different qualities and commitments that each can bring. Once in a while government officials and authorities consider cooperation to be something they are compelled to do, instead of something that will profit them (Zonke and Matsiliza 2015). Some are additionally scared of confronting the community on the grounds that they would say report-back, or conference



gatherings can without much of a stretch become discussions for grievance and dissent about issues or against non-conveyance. Or on the other hand, interest can be decreased to giving data on issues which have just been chosen (Morebodi,2016).

Yet, these feelings of dread and protection from important investment conceal the full innovative capability of a consistent and profound cooperation among government and communities. For participation to be meaningful it must develop reciprocal trust and produce creative, collaborative solutions (Messelhorn, 2008). Without a meaningful, truthful and deep participation process, the following issues may arise during the upgrading of an informal settlement. For example:

- Lack of alignment between institutional/governmental goals and community needs. This can result in the absence of a sense of ownership by the community for the interventions, ultimately leading to these being ineffective. This is because any project realised without the full engagement of the community may be viewed as an external element, which does not stimulate either a caring attitude or a sense of belonging in the users/targeted community.
- Strong opposition/protest from the community concerning particular aspects of the upgrading process. If a decision-making process is not transparent and/or participative, communities will feel deprived of their right to influence their own life patterns. This can lead to suspicion and mistrust and accusations of corruption. This in turn can lead to opposition and protests.

#### ***2.4.1. Community participation in informal settlements***

community participation in informal settlements is increasingly motivated by the state's frustration to meet the basic physical needs of its citizens through housing and base, and to promote a social partnership system that enables neighbouring people (Zonke and Matsiliza 2015). Manzo and Perkins (2006) face up to the task of linking the group and organizing through recognizing that individuals are embedded in a physical sense that shapes and places the concept of the interactions that individuals have between themselves. This methodology reflects on the significance of space and the links between persons and the environment affect their dedication and want to maintain, improve or remain in these areas (Manzo and Perkins 2006: 337). The network support in informal settlements is formed by local links, social relations networks and trustees ' agent board structures.

#### 2.4.2. *Why is community participation essential?*

Participation is fundamental in making an informal settlement upgrading process powerful and has equivalent advantages for government officials, authorities and networks. For instance:

- Active cooperation of nearby inhabitants is fundamental to improved majority rule and administration responsibility.
- This strengthens social cohesion, because societies are benefiting from operating in partnership and with legal offices.
- This increases the efficacy as communities are important for the recovery process by providing information, information and experience. Public requirements, issues and interventions are not the same as those laid down by planners and suppliers of administration.
- It empowers arrangement to be significant to neighbourhood communities
- It includes financial value through deliberate commitments to bring recovery and expertise, enhancing open doors for work and expanding the wealth of the society. This offers people the opportunity to develop the skills and processes to deal with social rejection (RSA, 2012).
- This increases maintenance because local people are responsible for the environment and can gain the confidence and expertise to improve as the ' additional ' resources go away.
- Participation causes a region to settle on proper choices, in light of the genuine needs of individuals;
- The more educated people understand what the government is trying to do and what the financial constraints and limitations on assets are.;
- In an open decision-making process, where different ideas are negotiated, people are made part of important issues that are defined and decided on together. Even if sometimes decisions can be difficult and require compromise, people will be able to see the reasons why choices were made (Messelhorn, 2008). Prioritising participation in decision-making builds awareness, helping to prevent protests and opposition;
- Municipalities can possibly profess to be responsible in the event that they have ordinary associations with the general population they serve and on the off chance that they counsel and report back on key gathering choices;
- State cannot address all development needs alone; societies ' associations, the general community and businesses strengthen management coordination and reform state.

Public participation can be a vital device to help districts in contacting the communities they serve. It can help improve casual settlement upgrading projects, and advances strengthening and limit working in recently minimized communities (Dept. of Housing, 2009). A participatory approach recognises communities as active agents of change, directly involved in formulating a better future. It can respond to specific issues, in specific communities, in an interactive fashion.

Naceur (2013) Community participation in the development of settlements can assist to preserve fragile community survival networks. Without participation these networks could be damaged or broken, if people are displaced or if upgrading interventions unintentionally interfere with these networks. Lastly, participation allows municipalities to get buy-in or commitment to a set of initiatives and to develop partnerships with different stakeholders. Partnerships are fundamental since the state does not have sufficient resources to provide everything and needs to rely on residents and other stakeholders to take care of, and manage, the implementation of projects (World Bank, 2009). community participation is urgent in growing great plans with the goal that communities possess the procedure of advancement and enable individuals to make an important commitment to the improvement of their own lives.

## **2.5. Is participation mandated?**

The engagement and the need to communicate in the most critical stages of the process of informal settlement communities is a fundamental principle of the UISP. Engagement is considered to be the most efficient method for encouraging informal people and communities to change their lives (Muphotsa, 2015).

Mpembamoto and Nchito (2017). Informal settlements, as imagined under the UISP, advances strengthening, coordinated urban improvement, and social attachment. This participatory way to deal with informal settlement upgrading, was gone before and bolstered by a wide arrangement of strategy and lawful systems. These arrangements and related enactment place support and responsibility at the very heart of the arrangement of nearby government (Dept. of Human settlements, 2009). The administrative structure on support is contained in five principle archives, which are laid out beneath. This enactment depicts the manner by which neighbourhood government should work and gives the structure to how districts ought to associate with communities. The issue of participation is focal in structure trust in the administration framework and encouraging viable improvement (Menski, 2019).

***a) The Constitution of the Republic of South Africa, 1996***

chapter 7 (Section 152) of the Constitution expresses that the destinations of nearby government are to give just and responsible government to neighbourhood communities and to empower the contribution of communities and community associations in the issues of nearby government (RSA, 1996). This implies it is the obligation of regions to guarantee that there is compelling interest of natives and communities in the issues of neighbourhood government.

***b) The White Paper on Local Government, 1998***

Municipalities are urged to fabricate neighbourhood majority rule government by creating methodologies and instruments to persistently draw in with residents, business and community-based associations (Naidoo, 2017). Districts must create structures to empower significant investment and communication among communities and councillors. The White Paper traces the arrangement of ward panels, their capacity, piece and job, the vision of ward boards of trustees as a channel of correspondence, forces, and obligations of ward advisory groups and furthermore the managerial game plans (UN Habitat, 2007). This implies structures and frameworks have been set up inside districts to empower community participation.

***c) Municipal Structures Act, 1998***

This requires a municipality to create components to counsel with communities and community associations (Njenga, 2009). Consistently the region needs to survey the requirements of the community and city needs and procedures for gathering those necessities. This implies choices made inside a district need to observe, and be founded on, the requirements of the general population it serves (RSA, 2012).

***d) Municipal Systems Act, 2000***

This Act expresses that a district must set up proper systems, procedures and methodology to empower the neighbourhood community to take an interest in the undertakings of the region. It further calls for districts to build up a culture of working connected at the hip with those agents inside an arrangement of participatory administration (Nyathi, 2015). There are likewise rights and obligations of the natives in connection to city capacities, which incorporate adding to the basic leadership procedures of the district and being educated on all choices of the board (RSA, 2012). municipalities must decide techniques to counsel communities and occupants on their needs and needs, and inhabitants must probably take an interest in drafting and looking

into the Integrated Development Plan (IDP). This implies IDPs must be founded on a community participation process.

***e) Municipal Planning and Performance Regulations, 2001***

This guideline says that if there are no other civil wide structures for community investment, a region must set up a discussion (Oakley, 2011). The gathering must improve open investment in checking, estimating and assessing the presentation of the region itself (RSA, 2012). This implies regions can utilize network gatherings as a reason for undertaking participation.

***f) Breaking new Ground, 2004***

Breaking New Ground (BNG) specifies that informal settlement upgrades ought to be embraced as community ventures, since community interest supposedly is basic to the achievement of any upgrades and enables developments to respond to local needs (Dept. of Human Settlements, 2009). This means that participation is a central element of an informal settlement upgrading process.

***g) Upgrading of Informal Settlements Programme (UISP), 2009***

The UISP has three interrelated key focus areas: the provision of tenure security, addressing health and safety, and empowering residents through participatory processes (Patel, 2013). While some financing is given to encourage the community participation processes, districts can likewise apply for outer subsidizing to further help this (Dept. of Housing, 2009). This means that the UISP requires community participation to be undertaken and that there is funding that municipalities can access in this regard.

***2.5.1. Important practices in participatory process***

There are key aspects that South African courts view as important practices in respect of community participation in relation to informal settlements. These have emerged in cases that have gone to court because communities have challenged processes and practices that have affected them negatively (World Bank, 2009). The important practices established in the court cases are as follows<sup>1</sup>:

*Meaningful engagement:* This is a two-path process in which the district and those going to end up destitute converse with one another seriously to accomplish certain targets.

*Individual engagement:* The engagement process shows care for the dignity and respect of individual householders. It empowers government to comprehend the requirements and worries of individual householders so that, where conceivable, it can find a way to meet their worries (Dept of Human Settlement).

*Respect and partnership:* Common regard and settlement of one another's worries ought to be the fundamental focal point of significant commitment.

*Mutual consensus:* Commitment does not require the gatherings to concur on each issue. The objective ought to be to discover the commonly worthy answer for the troublesome issues that stand up to the legislature and inhabitants when giving satisfactory housing.

*Adequate consultation:* Affected communities should be given adequate notice and they should be advised of their legal rights, as well as provided with adequate information pertaining to possible available remedies.

*Active participation:* Involves the establishment of a community development forum where the community actively engages the municipality regarding access to adequate housing, provision of basic services and incremental upgrading (Teo, 2015).

These practices are vital elements for municipalities to consider when they undertake any development strategy or activity that affects a community directly. The process of meaningful engagement is discussed below.

### ***2.5.2. Meaningful engagement as a basis for meaningful participation***

Meaningful engagement is viewed as the core principle upon which the participatory process should be based. It was first set out by the Constitutional Court in the Olivia Road case (Massey, 2011). In general, the core principles of meaningful participation are:

- Individuals or communities should be treated as partners in the decision-making process. If engagement takes place after the decision has been made, then it is not meaningful (Abahlali base Mjondo Movement of SA case);
- Engagement should be a combination of individual and collective participation. There should be a form of engagement between the community and community-based organisations, as well as the individuals within the community;
- Meaningful engagement should occur during all stages (decision-making, planning, implementation and evaluation) of an informal settlement upgrading process. This should

provide communities with reasonable opportunities to voice their concerns and to participate effectively in the decision-making process (Dept. of Housing, 2009).

### ***2.5.3. Participation in the UISP phases***

*Phase 1 – Application:* In the early stages different levels of community engagement can happen, but UISP requires that the community must have a role and take the initiative if needed. This allows the process of an upgrade to start from a bottom-up approach, not with an imposed decision from outside (Patel, 2013). Municipalities can secure support for the project and meet the application requirements of the pre-feasibility report. Participation can also occur when communities put pressure on municipalities to undertake a project (Webster, 2013).

*Phase 2 – Initiation:* Both full control and co-operation, and at a minimum consultation can will ensure that the business plan submitted reflects and includes the community's needs.

*Phase 3 – Implementation:* A range of participation levels can be used to enable communities to participate in implementation decisions and to inform them of progress as implementation is undertaken.

*Phase 4 – Consolidation:* The participation level used will depend on the basis by which consolidation is undertaken. If the People's Housing Process is undertaken the level will be full control. If a subsidised house is being provided, then informing would be applied (Webster, 2013).

### ***2.5.4. Structuring community participation***

**a) Establishing institutional arrangements** - A scope of institutional courses of action can be set up once there is accord and concession to the level and detail of participatory arranging required. For example, this can incorporate a working gathering or a task project steering committee (PSC) (Pretty, 2015). During the resulting phases of the arranging procedure the PSC or working gathering will assume a key role in managing the informal settlement upgrading intercession and in keeping partners educated on advancement. Building the limit of a PSC or working gathering is basic to the achievement, responsibility and advancement of these neighbourhood level institutional courses of action (Webster, 2013).

The institutional arrangements can be formalised via a Memorandum of Understanding or other kind of formal agreement between the stakeholders.

**b) Structures and organisational frameworks** - Depending on the size, nature and complexity of the scope of an informal settlement upgrading project or programme and the municipal environment, a range of organisational structures may be appropriate, such as:

***Community committee:*** This must incorporate all gatherings inside the community who ought to be counselled reliably. This council ought to be supported and capacitated to be as powerful as would be prudent, especially in getting issues and correspondence.

***Co-ordination committee:*** This is to keep actors in touch and informed. It is a network structure rather than a decision-making body. It is important in complex projects where multiple agencies are involved.

***Steering committee:*** This aide the procedure and is ordinarily used to settle on approach issues that are required by operational structures. It could give an approach structure in which the work ought to continue and screen utilization of this policy.

***Project committee:*** This is structured to manage the project and has the power to make decisions within the constraints of the project implementation and funding approvals given by a superior body. The Committee focuses on problem solving and delivery (SERI, 2018).

***Sub-committee and task team:*** These are little structures with explicit and regularly transient obligations. They can be useful for focusing on specific tasks and dissolved upon completion.

***Ward committee:*** The board consists of an advisory board of trustees that speaks to the ward and should also serve in the advisory group and not more than 10 other people. Ward advisory organizations are known as the tool for creating a voting system for communities. All the issues of development are joined at the surrounding stage in the city wards. In this way, administrative boards have a vital role to play as an intermediary between government and communities (not just local government) (SERI, 2018).

***Community development workers (CDWs):*** community improvement specialists are conveyed by government to work in communities to ensure that individuals can get to taxpayer driven organizations. They need to give counsel, help individuals with issues, evaluate needs and work with nearby associations to construct organizations with government (SERI, 2018). They for the most part realize the network well, have great contacts with associations and can-do meeting and research, spread data and screen usage.



The participatory planning team will need to work with these or similar structures to enable participation. Ananga (2017) The selection of the most suitable institutional arrangements and the relevant organisational method to be chosen for the informal settlement upgrade process, constitutes the basic organisational framework for meaningful participation. In many cases community participation must go beyond the use of ward committees but aims at defining arrangements that will progressively transfer competences and duties to the community itself (SERI, 2018). Municipalities should also establish whether community development workers are available and where possible utilise CDWs in collaboration with ward structures.

#### ***2.5.5. Overview of participatory methods***

There are various tools that can be used to involve people in the different parts of an upgrading process, but it is not possible to create a universal recipe for participatory processes. No one approach is applicable to all situations (Arnstein, 2016). Here the phrase “participatory methods” is used to describe the collection of tools that can be put together to achieve a certain purpose or goal. There are participatory methods for analysis and planning and methods for doing and reviewing (Williams, 2006). The differences between participatory methods lie in their purpose, the level of participation they aim to achieve, and their guiding principles. Some methods are large scale and multi-sectorial, others are more focused in scope. It is important to clarify the purpose and desired level of participation throughout the development process, before focusing on a method.

For informal settlement upgrading international agencies such as the World Bank, UNHabitat and The Cities Alliance tend to recommend community-level or community-based planning methods (Bello and Lovelock, 2016). Action planning is one of the methods that has been used successfully in informal settlement situations. The plan of actions aims to enable the communities to create, execute and manage their own projects for upgrading (UN 2015). It is community-based, divisive and intended to establish grassroots policies. It is a project-linked method that focuses on the planning phase of a project where a number of key decisions are generally made.

### **2.6. Global context on participation**

The commitment of the population to informal upgrade settlements is a global development challenge in identifying feasible methodologies to improve occupations of informal residents, verify citizenship, and enhance urban condition.

To date, the City of Johannesburg has concentrated on completing huge housing schemes, basically "green fields" which were started before BNG. Not many on-site review exercises are currently being carried out in Johannesburg. According to Baumann et al. (2004: 24) the informal resettlement and flow projects of settlements in Johannesburg are focused on residence, adaptation and house growth, leaning towards the surplus housing, water and sanitary capital. Therefore, the City of Johannesburg has general understanding that the legislative purpose for the city does not improve the tasteful degrees of a citizen community in improving people's lives in informal settlements.' (Baumann et al., 2004: 23).

The participation of communities in land development and cooperation in the field of successful urban development is an important element in ensuring that urban lands are properly maintained and effectively used for greater urban productivity in Sub Saharan cities. Top-down and bottom-up strategies as modes of engagement in urban planning appear worldwide when it comes to urban development planning (World Bank, 2002; Kyessi, 2002) and Makereani, 2013). In most government-led urban planning processes in sub-Saharan Africa, like Tanzania, top down planning strategies were appropriate and dominant. The strategy cannot effectively address other problems and challenges in informal settlements, including the need to take into account mutual values, expectations and needs, faced by the respective communities. in order to meet the challenges, the strategy for bottom-up planning was primarily adopted as a solution to increasing community involvement in the development cycle (Botes and Rensburg, 2014). Residents of a particular area who also seek government support for the implementation and execution of the agenda will initiate the urban planning process.

It is worth recognizing Ujama's strategy in Tanzania as in other developing world countries, which is delighting in implementing Arusha's 1967 declaration. The development of the policy focused on self-help and self-confidence legacies, which were also used to develop and implement the 1974 villagelisation program. This policy required individuals for community and national development to live and work together. There may also be other policies and legislation requiring the use of community participation in Tanzania (United Nation, 2015). These include the Municipal Authority City Government Act No 8 (1982). The Land Policy 1995; Clause 61 of Local Government Reformation in 1998. The Local Government Recognizes Public Interest in Problem Identification. Land Act No 4 of 1999 Section 60 (1-4) relating to the Rules of Lands, Human Settlement Policy 2000. With regard to urban

development and coordination, the issue in Tanzania is that these policies are not properly implemented and some overlap and that lead to urban development fragmentation.

## **2.7. Conclusion**

Creation of a significant participatory process involves the development of an atmosphere that facilitates contact, provides adequate networks and allocates time and resources to promote the environment (Hunter and Posel, 2012). Not only the magnitude of the organization and the characteristics of the Society depends on the success of a participatory informal settlement upgrade process. It also relies on support for funding, coordinating and providing the technical assistance needed for the project from external actors (public or private agencies and other key stakeholders).

This kind of institutional mechanism for allowing the use of external interests or coercion can be called into question. Similarly, some stakeholders are worried that the mechanism may be compromised. For example, while offering technical expertise and experience, professionals may conclude that community participation will jeopardize their professional judgements and standards (Burger, 2017). Communities may also be reluctant to engage, due to lack of faith in decision-making processes, having been denied access in the past, having seen broken promises, or not knowing how to engage, or being intimidated. In addition, it is difficult for informal residents to participate in processes which are considered time consuming under conditions of deprivation and stress and without some sort of security.

However, against all these odds, meaningful participation will constitute a solid base that can limit interest groups from manipulating the outcome of the informal settlement upgrading programme or project (Cherunya, 2019). Meaningful participation can be a mechanism for the community to progressively re-gain trust in the process and in the municipality. Participatory techniques can possibly unite data from an assorted variety of sources, quickly and cost-adequately. They can activate synergies and maximize resources in upgrading projects, starting with considering the community the most important of those resources. The following can contribute to project success:

- The project strategy and impact are relevant;
- Stakeholders are representative;
- Understanding of the development processes is reliable.

The chapter addressed the need to provide community external support in the sense of informal recovery to improve participation and to achieve greater cohesion in an efficient incremental rehabilitation process. All of these actions clearly depend greatly on the ability and participation of externals, in particular the political institutions and actors, in the societies. The successful outcome of a participatory informal settlement upgrading process with communities will manifest only with collective willingness and the shared goal of the co-creation of liveable, healthy and well-developed neighbourhoods.

### **3. CHAPTER 3: METHODOLOGY**

#### **3.1. Introduction**

The section explains the methods of analysis used in the study. Study applies to a thought process (Walby, 2007). Walby argues that he investigates, recognizes, and sets out rules to control a particular procedure objectively. This explains briefly how the data was gathered. This study uses a case study research method for analysing community participation in the Diepsloot informal settlements upgrading projects. The research is formulated as a concise and interpretive inquiry evaluated using qualitative methods. According to Rahi (2017:270), the qualitative method is a broad methodological approach for the study of social action. Pinter (2015) also noted that the quantitative approach consists of a systematic empirical analysis by mathematical, math, or computer techniques of social phenomenon. The qualitative approach is useful in the analysis of social problems and provides insight into beliefs, perceptions, behaviours, interests, motives and expectations of people (Elsayed, 2016). In this report, it encourages an analysis of the processes conducted through Community participation for informal settlement upgrading projects in Diepsloot and of the community's understanding of the concept of community involvement. Yin (2003) stresses that qualitative research offers the opportunity to obtain a more detailed understanding of behaviour, perceptions and experiences in countries.

#### **3.2. The study area – Development in Diepsloot**

The Diepsloot region was established in 1995 as a temporary (informal) refuge for persons initially expelled from the informal settlements of Honeydew, Sevenfontein and Alexandra under the Rand provincial administration's name (Harber, 2011). The first residents of Sevenfontein were 200 families evicted and they settled in Diepsloot extension 1, today. Followed were other evicts who were 'adopted' by the ministries of the Rhema Honeydew. The original workers of farms in the area that lived around the Tangani region were included with the people from Rhema and from Sevenfontein. People showed a stand to build their own shacks. On the stands there were no toilets (only toilets with bucket were available). By 1996 Diepsloot still was a reception area in Diepsloot West, where temporary settlements were mainly private. Several 13 extensions have since been extended (Harber, 2011).

The RDP houses were built in 1999 and there have been numerous changes since. In 1999, already, by creating the Transitional Metric Council to register all local people, the then

provincial government of the Rand had begun planning for the transition to formal structures. The Regional Transformation Council introduced a new Northern Randburg sub-structure to restructure Diepsloot's new Gauteng Provincial Government. It developed tactics that would best serve Diepsloot (Groenewold and Lesad-Phillips, 2012). They defined areas that need to be established, especially with regard to the supply of water, power and homes. Diepsloot is described as a developing city focused on the region by the government. There is no other location in the book Diepsloot that has grown like Diepsloot.

### **3.3. Sources of Data**

In this study, both primary and secondary data have been used. During primary data, the researchers visited different groups of the individuals selected for the study. The researcher had consulted the community at this point, housing officials and Community based organisations (CBOs) to obtain their permission; dates for the meeting were confirmed. The collection of data focused on Diepsloot extension 13 because it is a developing extension and most upgrading projects took place in extension 13 in the past years.

#### ***Secondary Data***

Secondary data sources included books, journal articles, past theses, publications of the Government, housing censuses and departments, internet, conference papers and newspapers articles relevant to the study. The emphasis was on community involvement in informal settlement improvement projects. Global information is also used in relation to sources with a view to finding approaches to address the lack of Community involvement in informal settlements and improvements.

#### ***Primary Data Collection***

In order to obtain feedback from the participants, the primary data collection consisted of using different tools, including surveys, questionnaires, and tape recording. 80 key informants were interviewed. Before the interview session started with both local officials and residents, permission to use the tape recorder was sought.

##### ***a) Key informants***

In-depth interviews were conducted with the following selected informants: i) Information on housing policy and community participation in situ-upgrading of informal communities was given by the Acting Director of the Johannesburg Municipality of the Department of Housing.

ii) Housing Project Managers from Johannesburg Municipality Housing Department, three project managers were interviewed in this research. Project managers provided useful information on housing projects on both current and previous upgrading projects, in Johannesburg Municipality at Diepsloot Township. They explained the successes and failures in community participation in informal settlement upgrading projects.

iii) Diepsloot Ward 95 Councillor, the councillors' role within the municipality structure is to report back to the municipality about community needs, such as waste collection, water, electricity, and to ensure that those needs are fulfilled and that living conditions are in good state. The Ward 95 councillor was interviewed with the aim of identifying measures that had been taken in improving community participation in upgrading projects of Diepsloot. Interviewing the councillor was very important, because she handles community issues and reports them to the municipality and vice-versa

iv) Residents of Diepsloot Extension 13, A total of 80 residents of Extension 13 were interviewed. The researcher engaged with the participating residents in two consecutive days. The first day involved 40 participants face to face interviews facilitated by the community leader. The second day 40 questionnaires were administered to 40 participating residents with the assistant of the community leader. The questionnaire uses Likert-type scale responses anchors for some questions.

They provided information on the current situation in terms of community participation and shared their experiences with social networks that exist. Residents interviewed consisted of household members of about 4 to 6 per family, heads of households whether female or male. Residents' response was critical in providing information on views on participation in upgrading projects vis-à-vis moving to a Greenfield area. Residents were interviewed on the premise that difficulties experienced in living in Diepsloot extension 13 environment can only be expressed fully by residents themselves. They were given an opportunity to state their needs and explain their livelihood strategies. From the data collection, it was estimated that Extension 13 consists of about 55% women-headed households, 40% male headed and 5% child-headed (Researcher, 2019).

#### ***b) Focus group discussions***

Focus group is often used to establish a detailed understanding of social problems through a consistency approach. The method is intended not to collect data from a statistically

representative sample of a larger population but from a carefully selected group. The conversations in focus groups are a key part of data gathering because they are valuable tools to investigate how Groenewold and Lessard-Phillips (2012:43), have both been developed and articulated. Focus groups were especially suited to this study because they placed participants in a setting relevant to their individual experiences to describe their ideas. Participants provided information on their preferred participatory approaches and issues as a group. Four focus groups were discussed; six participants were each present. Based on the household leaders, the Focus Group members were selected. The talks lasted about 3 hours for 2 days and were conducted at two participants' properties in Diepsloot Extension 13.

*c) Community-based Organization (CBO) and Committee Members*

Community-based Organization and Committee Members participated in focus group discussions. They provided useful information on the steps that are being taken to improve the situation of community participation in upgrading projects in Diepsloot Extension 13, and they shared their experiences that arose while trying to address the provision of basic services. The researcher contacted one CBO for this study, and there was one committee member that was used in this study.

### **3.4. Case study method**

Case study method involves the analysis of a unit which defines the minimum level of study. Thus, the method was used to do intensive analysis of Diepsloot informal settlement upgrading projects in order to understand community participation in settlement upgrading projects (Stake, 2005). In this case, the study investigated whether the current institutional framework doing settlement upgrading in Diepsloot allows community members and organisations to make substantial contributions towards the settlement upgrading projects. In addition, a detailed and comprehensive review of the analytical system and the specific study elements that occur and affect the under-investigation phenomenon is needed for the case study method (Zainal, 2007). Thus, the approach was used in order to examine the framework provided by NGOs, municipal authorities, scholars, members of the public and civic leaders who work together to improve lives in Diepsloot.

Of particular interest, a case study method documents and analyses a given unit in relation to environmental factors. Environmental factors in this case refer to the case study's concern with understanding various institutional factors that affect their active participation in settlement



upgrading projects (Finnegan, 2006). Accordingly, the research analysed actor participation in relation to local participation (Finnegan, 2006). As such, the method used Diepsloot as a unit of analysis while individual elements like type and quantity of contribution, degree of participation and involvement in decision making were considered as subjects of analysis (Zainal, 2007).

In contrast, the case study approach is better suited to discussing qualitative research issues in the form of research questions relevant to 'what', 'how' and 'why' (Yin, 2003). The research method was acceptable because the research methodology required a detailed inquiry into the context and a more nuanced understanding of community participation as an evolving model of informal settlement modernisation and city growth. The inquiry analysed the programme's framework for partner participation, decision making and service delivery in Diepsloot (Malon 2001). Yin (2003) advises that such research should be carried out using the case study approach because the study dealt with the "what" of a contemporary phenomenon that takes place within a real-life context bounded by the official operational borders. After clarifying what the case study is, this section addresses the appropriateness for this research topic of the case study process.

#### ***3.4.1. Suitability of case study research method: The research paradigm***

The choice of case study research method is based on the understanding that planning is a value-laden activity. Thus, enhanced understanding of planning activities and settlement upgrading processes should be grounded in interpretivist and realist paradigms (Krauss, 2005). Further, the research report is a product of the interaction between the researcher and research participants and as such, the principles of human systems are considered to be important and knowledgeable (Lincoln & Guba, 1985; Krauss, 2005). The interpretive paradigm is based on the belief that the reality should be the subjective perceptions of the individual and, thus, that the reality must be socially constructed, and that this is an intersubjective epistemology (Krauss 2005, Dobson 2002). Dobson (2002) believes that our understanding of truth is due to social conditioning and cannot therefore be seen regardless of the social players involved in the process of deriving information.

Realism includes multiple interpretations of a common reality (Healy & Perry, 2000). Cohen (2016) believes that interpreters and realists are seeking, through a detailed examination of the interests, to derive their concepts from the ground. Reeves and Hedberg (2003: 32) maintain

that “the interpretivist paradigm stresses the need to put analysis in context”. Willson (2003) is of the view that such studies demand gathering ‘deep’ information through inductive qualitative research methods. "The researcher does not stand above or outside in his interpretative approach but is a participant observant" (Siyongwana and Mayekiso, 2011), who participates in behaviours and recognizes the signification of actions in a particular social context. Case study method and semi-structured in-depth interviews prove to be rigorous, useful and appropriate for such inquiries (Krauss, 2005).

Further, the case study method grounds the inquiry into the ‘lived reality’ of both the research topic and questions. Accordingly, the method enabled the study to focus on the operational ways and experiences of individual organisations and institutions and how the current institutional framework is affecting their active participation processes in the programme. The case study approach is thus an investigation that preserves more real-life sounds than any other technique of analysis for such investigations (Barry and Ruther, 2005). The main advantage of the case study approach was its ability to closely examine real-life situations and the way the changes and events take place within context-specific fact and restricted experience. (Mautjana, 2014). The lived reality provided multiple sources of evidence and offered possibilities for covering multiple realities, giving case study its unwavering justifications for its appropriateness in this bounded inquiry (Jones & Lyons, 2004). Case research proved applicable for revealing processes involved in causal relationships between the phenomena under study. By so doing, case study research method facilitated a deeper understanding of a complex issue of co-production and added strength to what is already known through previous research and current theory in urban planning (Susan, 1997).

### **3.5. Data Collection**

The councillor, committee member, housing officials and the residents were contacted to provide useful information on the possibilities to improve community participation conditions for Diesploot informal settlement. The research process was organised at 3 stages namely:

- a. Pre-reconnaissance – Diesploot's basic information for secondary and primary was collected
- b. Reconnaissance survey
- c. Sampling procedure – data collection

#### *a) Pre-reconnaissance Stage*

A researcher will typically select strategies to acquire the information that is needed to understand the experiences in question, to provide differing points of view and to use the time available to collect data efficiently (Gomez, et al. 2013: 188). For this study the researcher contacted the councillor and the committee member, to get permission to conduct the research in the chosen settlement, gather information on the history of Diepsloot, and familiarize herself with the study area's residents.

The committee member was very useful in introducing the researcher to the residents, as the research data collection involves some invasion of privacy. During household survey, the researcher made contacts with the residents. The participants were given an explanation of the experiment to obtain informed consent. The author was asked to explain to the committee member the meaning, aims and ethics of the report. The identities of the participants were not registered because the ethical implications of research focused on privacy and anonymity.

On the other hand, there were problems, such as some people not wanting to participate, saying that they are tired of people making empty promises. The only things they want are houses with water, and electricity. Such persons' views were respected, since participation in the research was voluntary, and the next available household was included in the study. Three project managers were used in this researcher. During the interviews they provided different useful information as they are dealing with different areas of housing development projects including upgrading of informal settlements. The names and sites are not presented, to preserve confidentiality.

#### *b) Reconnaissance Stage Survey*

A reconnaissance survey was conducted in a preliminary visit: the researcher visited the area to observe the settlement and to identify households, 15 selected to participate in the survey, with the aim of getting more information through interviews. This was also a preparation for focus group discussions, which followed after the survey. The reconnaissance survey was very useful in this study, because the researcher was able to participate in the survey and observe the living conditions and general activities undertaken in Diepsloot, Extension 13. The researcher was accompanied during this phase of the study by a community leader. Forty residents were randomly selected.

During the reconnaissance survey it was established that Extension 13 is situated approximately 4km from the entry to Diepsloot. It had 115 dwelling units, and 1520 residents

between 2006 and 2007 (Ward 95 Councillor 2019). In 2021, it is estimated that there are 360–380 households, and the population to have increased to 360029. The Project Manager from Mageba projects postulated that the average shack size in Extension 13 ranges from 20–35 square meters. Open-ended question was used in gathering the relevant information on housing conditions. Interviews were carried out in English with the housing officials, and the residents ‘household survey and focus group, data collection’ was translated to isiZulu by the researcher.

### ***3.5.1. Sampling procedure***

In order to collect information from selected members of the community on respondents, a sampling procedure was used. Sampling is the act by which a sample is collected for the purpose of establishing the population as a whole (Gordon, et al. 2012:5). In this experiment the research was carried out in order to determine the characteristics of the population by drawing specimens. In Diepsloot, Extension 13, 80 participants were recruited using a simple random sample to allow for an equal chance of selection in each unit of the population. Only 80 participants were selected because the researcher will only be able to interview a maximum of 80 participants due to time and strength as well as resources available. Another factor for choosing 80 participants is that it covered the whole extension 13 of Diepsloot, all the residents of the township extension were represented. Reconnaissance survey showed that there were occasions when more than one family shared a house. For the interview, the author has randomly chosen a household head. The researcher gathered activities and the period of data on the settlement style facilities, employment, household members, company, and informant time. Also took their views on involvement in project upgrades.

### ***3.5.2. Observation***

The tool used to collect data was observation. There was a checklist of issues to be tracked. The researcher sought: living conditions-nature of shacks, material used-movement-space usage-settlement economic activities-general physical condition.

## **3.6. Data Analysis**

Finchilesca and Muthal (2019:133) defines data analysis as a “process of systematically searching & arranging interview transcripts, field notes, and other materials which were assimilated by the researcher to increase her or his understanding of the mind which enables the researcher to that which was discovered by others.” In this research, data consisted of transcripts and notes taken during the visit and immediately after the interviews through

primary sources. “Qualitative researchers aim to gather an in-depth understanding of human behaviour and the reasons that govern human behaviour” (Hills, 2002:15). Research approach adopted enabled the researcher to appropriate data and the informants had a chance to respond to problems they face in informal settlements. Thematic analysis is an approach that deals with the creation and application of coding data (Kiefer, 2009:66) which was appropriate for this study and it enabled the researcher to analyse the information collected through varied sources based on a given theme. As part of the analysis in this study, histograms were used in presenting data on income. The researcher transcribed the recorded information, which was used in conjunction with data, which had been collected during the field survey.

### **3.7. Limitations and relevance to study area**

Collection of data was successful but there were limitations; the researcher had found at the beginning that some community members did not want to participate in this research because; they were angry and tired of promises. But after the researcher had explained with the help of the committee member that this work is academic, they then participated. Another obstacle was housing authorities. It was difficult to reach them, even when they were named by the researcher at the time decided. The application was late. At the end of the research team, all could be combined, and sufficient information collected. section 4 1(b) of Act 4 of 2001 part 1 of the Housing Code stipulates that consultation with communities as well as other community-based bodies should take place before development projects commence. However, communities do not understand the principles of community participation and government officials take easier ways in carrying out the processes of community participation. therefore, the researcher decided to assess the level of community participation in the upgrading of informal settlements so as to derive possible solutions to the challenges that are being faced by communities in this regard

### **3.8. Chapter Summary**

The research methodology for the analysis has been listed here. The chapter discussed and applied the method of case study in this research. The collection of information, including secondary sources of books, journals, dissertations, lectures, and the internet, used both primary and secondary sources of data. Both reports concentrate on community participation in better encounters with informal settlement programs and on initiatives and government interventions that are currently underway. Interviews and the focus group are the data collection methods used. The results of the data analysis will be discussed in the following chapter.

## **4. CHAPTER 4: DATA ANALYSIS AND INTERPRETATION**

### **4.1. Introduction**

This chapter presents and analyses data obtained from the questionnaires prepared for the study. The findings discussed in this chapter evaluated the community participation in informal settlements upgrade projects in Diepsloot informal settlement. This chapter is necessary as it will try assert the research findings with a specific end goal to come up with strong recommendations and conclusions on the community participation benefits for the residents of Diepsloot informal settlements. The following are findings which were obtained from the questionnaires administered to 80 households of Diepsloot extension 13, and the Municipal officials from Johannesburg Municipality Housing Department. The findings will be used to attempt to answer the main research question (i.e. Is community participation done adequately in Diepsloot Informal Settlement Upgrading projects and what forms of community participation are undertaken?) using the responses from the questionnaires and group discussions.

### **4.2. Results and discussions**

The findings are as follows: first the reactions from the members of the community accompanied, if necessary, by the responses of the officials of the Johannesburg Municipality Housing Department. In addition, when only one response is given, the findings should be considered and read as the answers provided by members of the community. The results presented in this chapter answer the research questions posed in chapter one.

#### ***4.2.1. Data collected from residents***

The information of the respondents interviewed in Diepsloot Extension 13 is presented in this section.

#### 4.2.1.1. Demographics

Table 1: Language of respondents

Language	Interval	Percentage
Venda	7	9 %
Sotho	32	40 %
Zulu	21	26 %
Sepedi	16	20 %
Other	4	5 %

The data shows that out of the 80 respondents interviewed, 40% of the participants were Sotho speaking, 26% Zulu speaking, 20% Pedi speaking, 9% Venda speaking and lastly, 5% of other languages. These data indicate the tribe that usually responds to community engagement meetings is the Sotho speaking people because the settlement is dominated by Sotho speaking individuals.

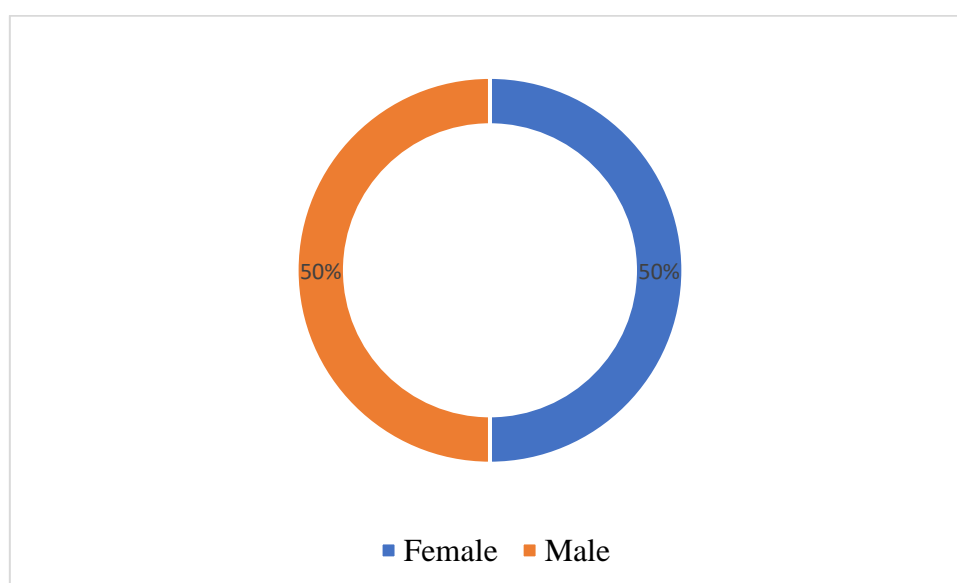


Figure 2: Gender of respondents in percentages

The data indicates that out of the 80 respondents interviewed, equality of sex was chosen to include 50% of males and 50% of females in the study. The gender distribution in these initiatives is the same, thereby giving legitimacy to the government's agenda of gender equality and women's economic empowerment. Previously women had been robbed of their opportunities and economic benefits in infrastructure and agricultural ventures. Nevertheless,

gender equality programs were widely regarded for equal opportunities for skills, information, and economic gains for all genders in informal settlements.

Table 2: Age of respondents

Age	Interval	Percentage
18-21	9	11 %
22-35	23	28 %
36-50	35	44 %
51-75	10	13 %
76 and above	3	4 %

Source: Own construction (2019)

The data indicates that out of the 80 respondents interviewed, the highest single proportion of the participants (44%) was in the age ranges of 36 to 50 years old, followed by 28% in the age group of 22 to 35 years, followed by 13% in the age range of 51 to 57, followed by 11% in the age range of 18 to 21, whilst those on the age of 76 years old and above constituted only 4%. These data indicate that participants who mostly own households between the age range of 36 to 50 participate in community matters of development. This also implies that the youth of Diepsloot Extension 13 does not participate as required or expected. Engaging young people involved in Community development activities can indirectly identify youth as viable and productive community members and can contribute to deeper and more positive community change (Robinson & Green, 2010). Young people must therefore engage actively in development projects.

Youth need talent, experience and various individual and social attributes (Robinson & Green, 2010). This suggests that young people's participation in development projects should be taken more seriously. As more people engage in their career development, more knowledge, experience and skills are acquired and easily passed to the new generation.



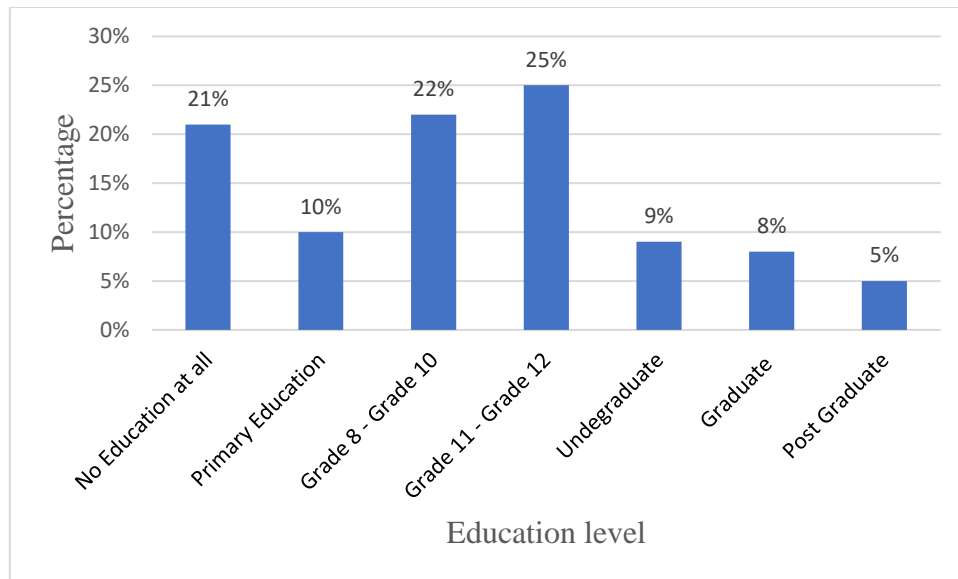


Figure 3: Education level of respondents in percentages  
Source: Own construction (2019)

The data shows that from the 80 respondents interviewed, majority of participants (25%) have matric qualification, 21% no education at all, 22 % grade 8 to grade 10, 9% Under Graduate followed by 8% which are graduates and lastly the post graduates which is 5%. It means that most people (25 %) can read and write. This sample group, as opposed to Akroyd's literature (2003:3) had a high level of participants with Grade 12 (Matric) and higher qualifications and participants could complete the questionnaires on their own. Nonetheless, 21 % without training needed help to write their answers and the researcher and the researcher assistant offered this. What this finding clearly shows is that for grade 12 and above, there is a high level of unemployment and they have participated in these projects.

The 21% points of view of those who have been illiterate are what they see as "community participation" and what they see as barriers to engaging in development projects. This therefore influenced their involvement. Theron (2005:65) agrees with this finding that illiterate has an inhibitory effect on involvement by the Group. Nonetheless, informal settlement improvement programs are very beneficial, when providing for economic activities, to empower people with skill and knowledge. Wiggins (2003:23-24) categorizes those who lack formal education and skills to secure non-farm jobs in their areas of poor and vulnerable informal life.

#### 4.2.1.2. Participation in community upgrading projects

Table 3: Community participation statistics out of the 80 respondents

Participation	Interval	Percentage
Fully	46	56 %
Partially	34	44 %

Source: Own construction (2019)

The data shows that the majority of people who takes part fully in community meetings in the area is 56 % and the rest of 44% who partially take part in community participation. Meetings may be used for the management of projects as an important tool. Meeting also provides a warning that the plan or company has challenges and opportunities at an early stage. For the sustainability of Community projects, the formal meeting is therefore critical for evaluating the plan adopted and the actual output compared to the defined production. This finding is the basis of sufficient frequency of meetings.

The respondents think it is because they haven't been informed of the meetings that they have participated partly in projects. Therefore, lack of information leads to a failure of the projects. Several respondents said they are uncertain about what is going on with their projects. The willingness to participate fully in the projects was negatively affected by the fact they did not attend significant training. The following quotation confirms the conclusion:

*“I think I would have been interested to participate if I had been trained in this project because I would have gained skills and knowledge of the project. I do not see any reason to participate because I know nothing and have not been trained for this project”*

Hussein (2003) highlighted that people must be inspired, trained and informed to be able to participate in local development questions and projects intelligently. 56% of respondents reported being fully involved in projects, which gave them a sense of belonging. We believed that we managed the projects by ensuring that each individual member progressed with the project for the benefit of the community. Others said participating in the projects offered them a chance to express their own opinions, especially during meetings. his result correlates to the participatory, informative and consultation rates of Arnstein (2016), which allow people to speak. One official's opinion was that "the society does not have the capacity to appreciate and participate fully. Participation remains rhetorical, unless this skill is established between

people. He held that, “level of participation, especially in meetings, heavily depends on the competence and expertise of the committee to facilitate the process”.

Table 4: Reasons for not participating

Reason	Interval	Percentage
Do not understand the process	9	26 %
Not aware of the meetings	8	24 %
Do not have time	12	35 %
There is no specific reason	3	9 %
Other	2	6 %

Source: Own construction (2019)

From the 80 respondents interviewed, most respondents reported that they seldom attended meetings. The same respondents explained why they were not aware of the meetings and were not told. Poor communication on the meetings leads to a lack of involvement. Meetings are extremely important and are seen amongst other things as a platform for planning, reading, sharing opinions and thoughts and election of leaders. According to Clearly (2008:379), a group of people discuss data, decision-making or the resolution of a given problem. Meetings build rooms to define the concerns of community members and to agree on goals. Project meetings are a building platform for stakeholder project management and interaction, so that project meetings are necessary for the project progress (Burker & Barron, 2007:349; Miners, 2009:37). Gorse and Emmitt (2003:234) recognize the importance of the project meetings in developing and maintaining relationships that shape and manage a project in the final analysis.

Some participants indicated it was not needed for them to attend meetings because they have representatives responsible for participating in meetings and speaking on their behalf. This is confirmed by the quote below:

*“I do not think that it is important to take part because we have leaders in the community who engage in meetings, listening and discussions on our behalf”*

According to Makumbe (2016:57-58), the number of villagers involved in the meetings decreased due to problems such as lack of funding and relevant skills, lack of training programs and lack of allowances.

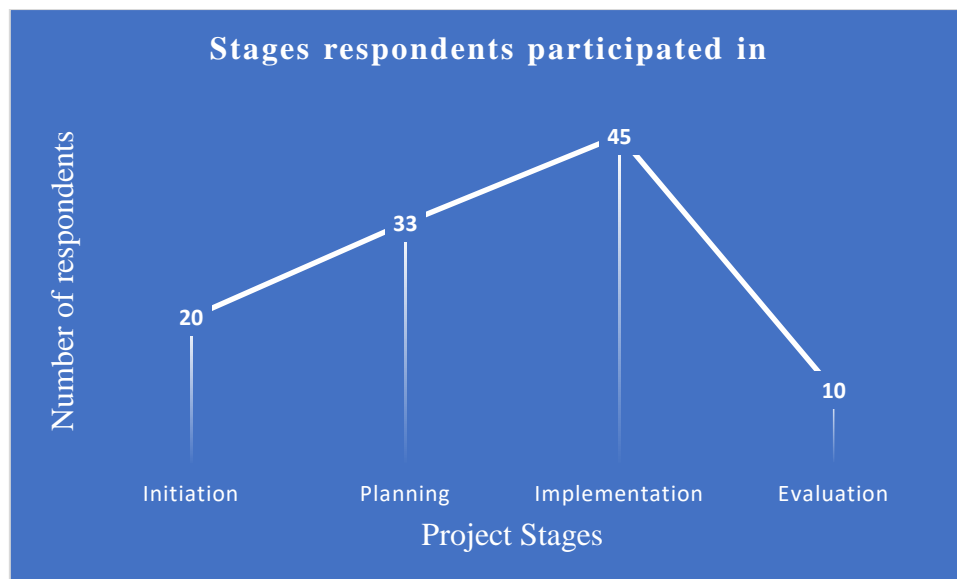


Figure 4: Number of participants in each project stage  
Source: Own construction (2019)

The figures indicate that from the 80 respondents, 45 participants participated in the project implementation phase, 33 in planning phase, 20 in initiation phase and 10 in evaluation phase. Other respondents who attended in more than one phase should be noted. According to the conclusions most respondents (45) took part in the phase of execution. This means that most of the group have only had an opportunity to realize the project. The majority of respondents indicated that the other phases of the plan were not involved. In other words, participants were already involved in projects that someone else agreed on. That is what was called "passive participation" by Raniga and Simpson (2002:183). Projects are initiated for passively participation, but the main stakeholders or end users have not been involved since the start.

The survey revealed that the project was initiated only by 20 of the respondents. This is a smaller number which indicates that at this point, there was very little or no involvement in the group. The respondents argued that most of the decisions had already been made on behalf of them and that no priority had been given to projects. It is unlikely that the community will be interested if it feels it does not participate genuinely in projects. The study also shows that only 33 of the participants participated in the project planning process. The respondents noted, however, that they were told only how the projects would work, when it would begin and about other related issues. Some people said that they had at least the opportunity to ask questions and provide information if necessary. The following quote supports this finding:

*"We have been invited to ask questions or comment on the plan by hand"*

Only 10 of the respondents participated in the evaluation process. It indicates that a very few respondents are interested in the evaluation process. The result also indicates that the community participation in assessment is significant but seldom conducted, Cohen and Uphoff (2016:213-235) shared their opinion. Diepsloot Extension 13 is a remote area with an illiterate majority of the population. Therefore, the majority of people have been believed to have only taken part in the project implementation stage due to their skills, training and illiterate level. Nonetheless, most respondents said that the decision-makers or project managers made most of the decisions. Consequently, the findings show that the community members were not fully involved in the project creation, preparation and assessment process. And the level of participation is considered low. The literature reviewed by Johnston (2017:203) in Section 2.6 of Chapter 2 confirm the fact that when people do not engage in decision-making and simply by providing material, work and even voting or by agreeing those conditions, the individual is considered to be the lowest level.

Participation is a contribution to the decision or work involved in the projects, according to Finsterbusch and Van Wicklin III (2015:57). The researchers found that participation takes place in stages and reflects different degrees in the design of projects. Moninka (2000) adds that the involvement of the group can be seen as a system in which the community members participate at different stages and levels in the project phase with the goal of building the community's capacity and preserving the services provided by the supporting organizations during the project. Participation across the project from project development to assessment ensures that public preferences and desires are reflected in the activities of the project. This motivates the team to continue the activities of the project after completion of the project.

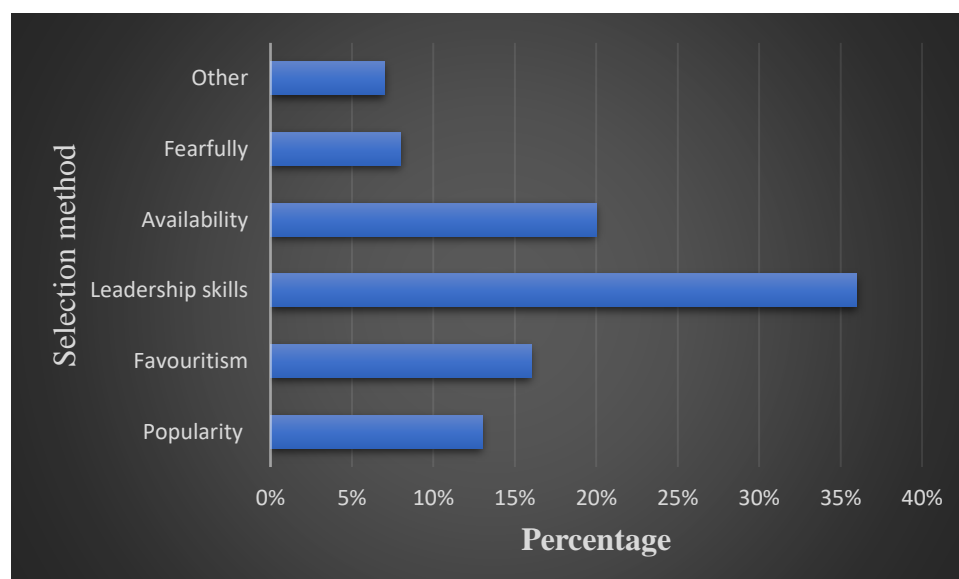


Figure 5: Leader selection methods as perceived by respondents  
Source: Own construction (2019)

The results show that most of the respondents knew who they are, who they are and how they were elected and how they attended their elections. The interviewees stated that the commissions were elected by raising their hands in a vote. The Committee consisted of a Chairman, Vice President, Treasurer, Assistant Secretary and two other Community members. The minority of respondents who reported not being aware of the committee said that they had not been informed of the elections and that the committee still had not been implemented. The following quotes support this result:

*“I don't know who the members of the committee are and how they were elected.”*

Project committees are considered as the bodies that carry out projects. Certain participants, however, argued that their Committee / body did not represent and did not represent the interests of the community (Gikonyo, 2008). This had a negative impact on the participation of the members of the community.

Table 5: Mechanisms that could be used to motivate individuals to participate in community meetings

Mechanism	Interval	Percentage
Compensation	15	19 %
Transparency	12	15 %
Taken seriously	15	19 %
Understanding the processes	27	34 %
Convenient time	10	12 %
Other	1	1 %

Source: Own construction (2019)

The evidence shows that the majority of respondents (34%) do not know about community participation processes. In order to encourage and facilitate participation in the community, the municipality should inform its communities concerning the mechanisms, processes and methods available; the issues concerning which Community participation is encouraged; members of the local community's rights and responsibilities; municipal governance, management, management and development. The municipalities must take into account the requirements in language and use of their residents and the special needs of people who cannot read or write when transmitting the details described in the paragraph above.

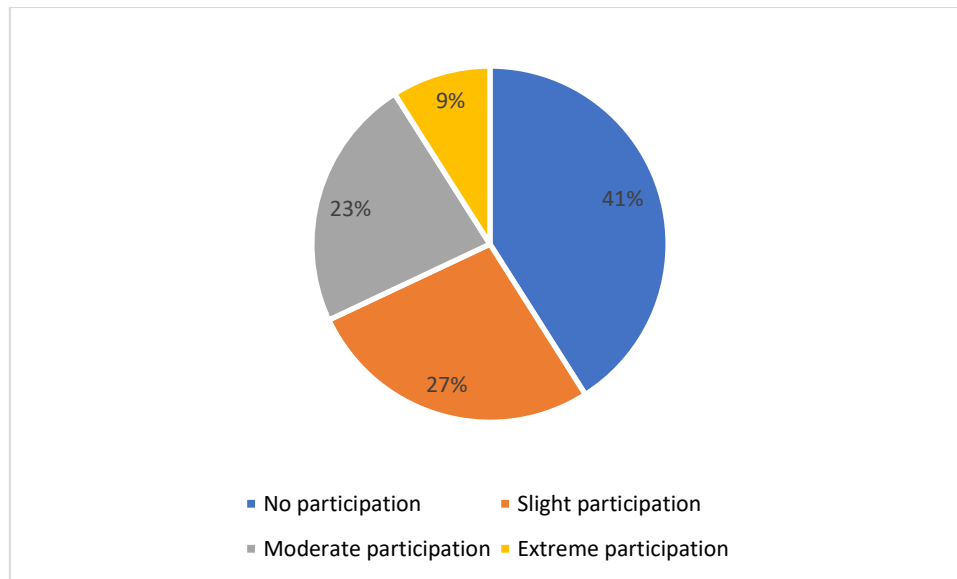


Figure 6: Level of participation in identifying and prioritizing projects  
Source: Own construction (2019)

It was asked to the 80 respondents whether participants had the opportunity to identify projects and to give priority to them. Most (41%) respondents said they did not have the chance to identify and prioritize the project and the majority said that they would have participated if they had a chance. Participants said they were told only about the project and that someone else had already decided on the project. This is called "passive participation" by Pretty (2015), in his forms of participation, people participate by asking us what was decided or what happened already. The quotes below confirm this conclusion:

*"The plan had already begun by the time we were called for the conference. We have only been told that a project is underway. "Since the project has already been debated and decisions taken, we who had the requisite skills and knowledge about the project were asked to give their names for the implementation of the project. And we who had concerns about how the project began never had answers"*

Community participation is conceptualized as a process where the community members take greater responsibility for evaluating their own needs individually or collectively and, once these needs have been reached, identifies potential problems and planning strategies to implement these solutions (Bermejo & Bekui, 2016:1145-1150). DFID (2002) emphasizes that the overall objective of development engagement is to engage people and communities directly in problem-setting, plan-making, and decision-making for their own lives. A study carried out by Kinyoda (2008) indicates that the participation of the community in development projects was low. Her study showed that people were unable to make decisions, select, identify and prioritize

the projects completely. For example, 41% of respondents in the Diepsloot Extension 13 group said that there was no chance to recognize the project and prioritize it. The participation rate was also small when most people were not present, only 9 per cent participated entirely in the projects and 41% were not happy with the operations of the government and the manner in which officials handled the project in the Johannesburg Municipality Housing Department.

Brett (2003:5) argues that participation is a process to empower people to identify issues and needs, to mobilize resources in partnership with and assist them in their work, to plan, to manage, to control and to evaluate the actions they themselves decide on. Participation is a process of empowerment aimed at developing skills and ability to enable rural people to better manage and engage in negotiations with existing development structures. (Oakley, 2011:9). Therefore, involvement in democracy will allow rural people to decide on actions that they find important to their development and help to amplify their recognized voices (Oakley, 2011). The "voice" of each person is critical in the development of strong people and communities, says Swick (2001:264).

The way people can be encouraged and motivated to participate in program activities will be Community mobilization. It is important to identify where the interests of people lie and what drives them in order to engage a group effectively. The recruitment of community leaders to make important connections between the company and the public is a useful starting point. This should be done with care to ensure that all members of the community are represented.

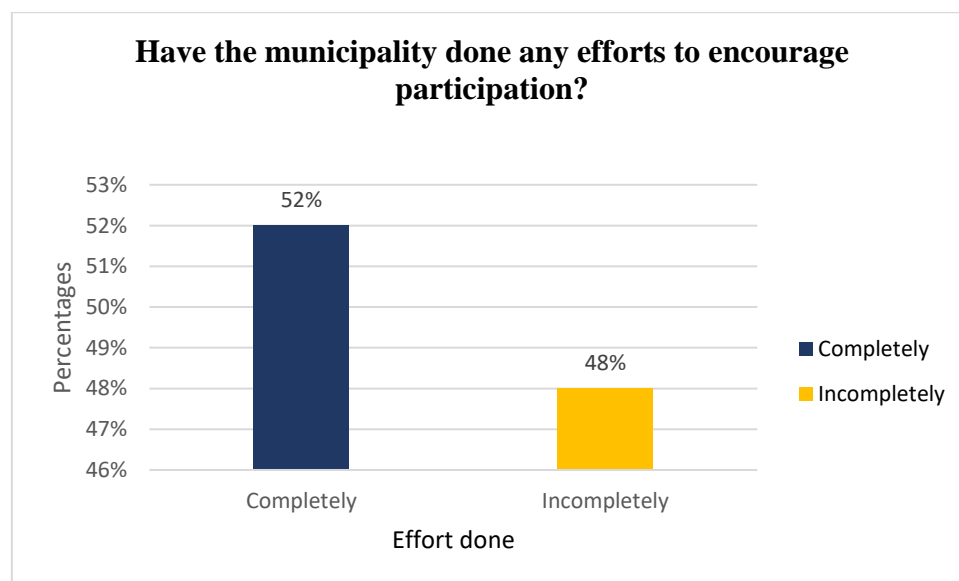


Figure 7: effort done by the municipality to encourage community participation  
Source: Own construction (2019)



The data show that out of the 80 respondents interviewed, 52% of the respondents encountered efforts done by the municipality to encourage them into participation in settlement upgrading projects. This respondent clarified that there is always advertisement in the newspapers of the city as well as announcements in radios and the municipality website regarding participation in the projects taking place in the area. Only 48% say the municipality did not completely encourage community participation since they never saw any kind of information regarding to be part of projects happening in the community of Diepsloot extension 13.

### ***Finding information on Processes and procedures***

The interviewees stated that information and transparency on projects are lacking. This also plays an important role in increasing the involvement of the society. The respondents submitted that what happens in the projects is sometimes shocked because they are not kept informed. They said that, nevertheless. Committee does not pass knowledge to them sometimes. This means that only leaders know about knowledge. The word 'power and process' is alluded to in Marais (2007:20). Raniga & Simpson's (2002:186) Research has shown that there was a lack of transparency and a lack of information about how the Project is firstly identified because the community did not feel that it had sufficient participation by the local community.

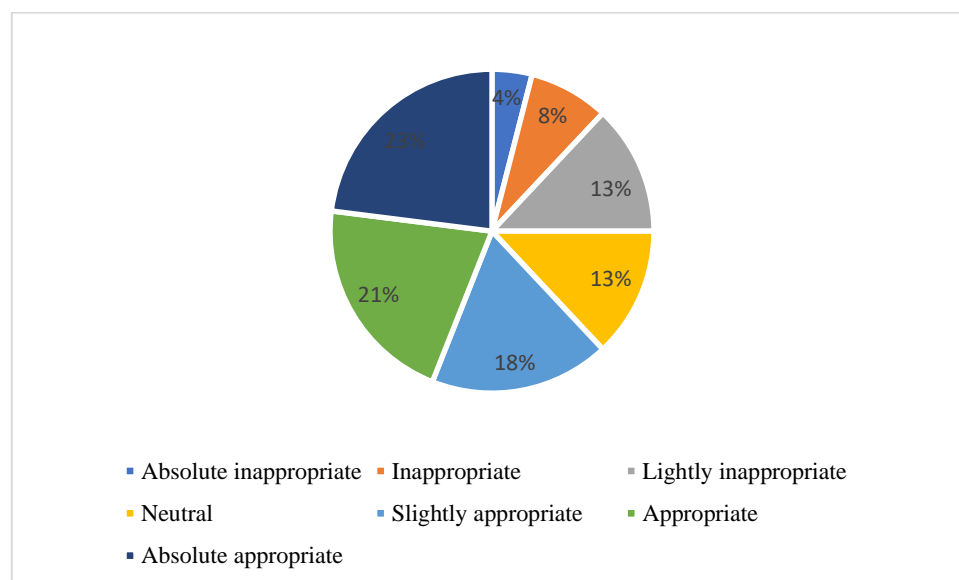


Figure 8: Perception on community participation by respondents  
Source: Own construction (2019)

Comprehension and definition of participation in the community are complex and tend to confuse many. Every person can understand the interpretation of the term in his or her own way. The definition of community participation was generally defined by all (100%) of

respondents. The majority of respondents referred to participatory elements as 'involvement,' 'engagement' and 'taking part,' which indicate that community members recognize to a certain degree what participation in the groups entails, because participation means things to different people. Several respondents cited an incident in which during one venture they had to take bricks to the site. This was engagement, in their view. This can be viewed as engagement "as a way" in order to accomplish such tasks with cheap labour and public resources. The question of how the community perceives community participation? has been answered and revealed here that there is still a need to change and educate the residents with community participation as only average number of people deem it extremely appropriate.

Burkley (1993:58) also found that the notion of engagement as a means to achieve successful growth remained the dominant norm in rural development practice until recently. These finding was followed. Effective participation aims to enable the community members to take over their own development by "participation as an end." In addition, work does not constitute participation because as described in Chapter 2, participation in development programmes is a process throughout which the identification, scheduling, design, implementation, evaluation and post-implementation of developments involve people, and particularly disadvantaged people, in different levels and intensities.

### ***Mechanism that can be used for Prevention of low participation by CoJ***

Somanje (2001) argues that effective informal agreements are at the root of all ventures. Informal settlements should be strengthened by people and people, not by groups or by persons. This helps the city to connect with communities in order for people to own and engage in every level of changes to informal settlements. Community participation is also referred to as community involvement or community action. Civic involvement has been noted. There are four different levels of community engagement and it is important to be honest with communities about which level is being applied at any one time (Jones and Lyons, 2004). The most basic level is to provide information to individuals or the community about decisions and activities underway, this is a one-way flow of information. This may involve communication in the form of fact sheets, websites and information kits (Krauss, 2005).

The second level is to engage people and the public and receive feedback on the activities proposed. It is a restricted two-way communication flow; but, when public feedback is needed to influence a decision on a preferred option, it can be used effectively. This level can consist of communications in the form of focus groups, public presentations or observations and

surveys (Krauss, 2005). The third level of participation is interaction; conversations on policy development and program responses are possible by collaboration with the public to address issues. Another degree can be used when issues in the group are more complex (Krauss, 2005). For example, seminars, committees and workshops involving Community members provide community engagement at this stage.

The fourth and highest level of engagement is collaboration with the family. The rate is used where a significant timeline exists, and the agenda can be described in conjunction. Strategic advisory boards and commissions are examples of involvement at this stage. At this level of participation, the group can identify its own goals and contribute to decision-making in order to address a shared interest in the issue of informal settlement upgrades. A committed and inspired society in which people and organizations use their skills and resources to influence health determinants, discuss health goals and meet their health needs (Robinson & Green, 2010). A good understanding of the communities or the groups and individuals with whom we work requires effective participation by the community. Until beginning any initiatives, the city needs to learn about its desires, goals, capability and barriers. Involvement in the family often requires knowledge that not all have the same experience in life. The ability to listen, understand and respond is critical for successful communitarian involvement, allowing mediation and advocacy.

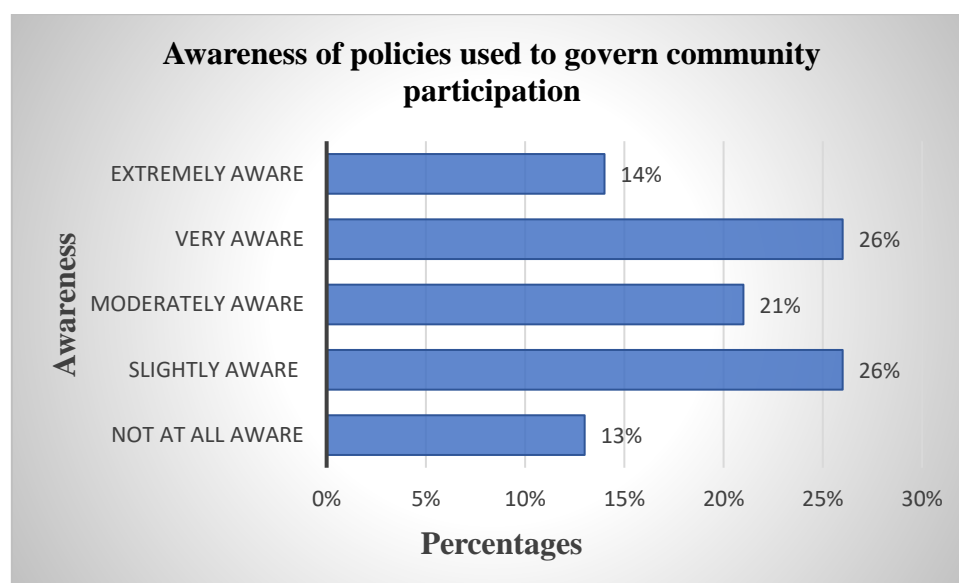


Figure 9: Awareness of respondents regarding the community participation policies  
Source: Own construction (2019)

The data presented in the above graph shows that only 14% of the respondents are extremely aware of the policies that govern community participation in projects upgrading informal settlements. There is also 26% that is very aware, 21% which is moderate, another 26% which is slightly aware and the last group of respondents which are not at all aware of the community participation policies. These results reveal that not so many people are aware in a manner that they are supposed to be aware of the policies governing community participation in the area. This results in community members being confused and not participate fully and in all the stages because they do not have all the required information.

#### ***4.2.2. Data collected from municipal officials***

The response of Johannesburg Municipality Housing Department officials to the awareness of community participation in development projects was:

- The absence of the top-down method and encourages the public to play an active part.
- Some degree of involvement in an organization by the community to ensure the success of the project.
- People given a chance to prioritize the project.
- The community/people taking part in all stages and activities of the project.
- Engaging the community in the decision making of the development projects in their area
- The promotion of people centered approach.

The above definition of inclusion in the community's development projects is close to those in Mansuri and Rao (2004:10) by officials from the Johannesburg Municipality Housing Department. In a nutshell, they describe participation as an active participation of community members in all stages of the project and as a process by which communities can define their own destination.

The study shows that the officials, unlike community members, understand the meaning of the participation and its importance based on the findings mentioned above and on explanation of the community's participation. And this could be because the bulk of the respondent community members are older, illiterate and/or have a low skill rate. Nevertheless, community members demonstrated an understanding of the concept of community participation, although in a more summed way.

***Participation extent of community members regarding decision-making in the Diepsloot Informal Settlement upgrading projects***

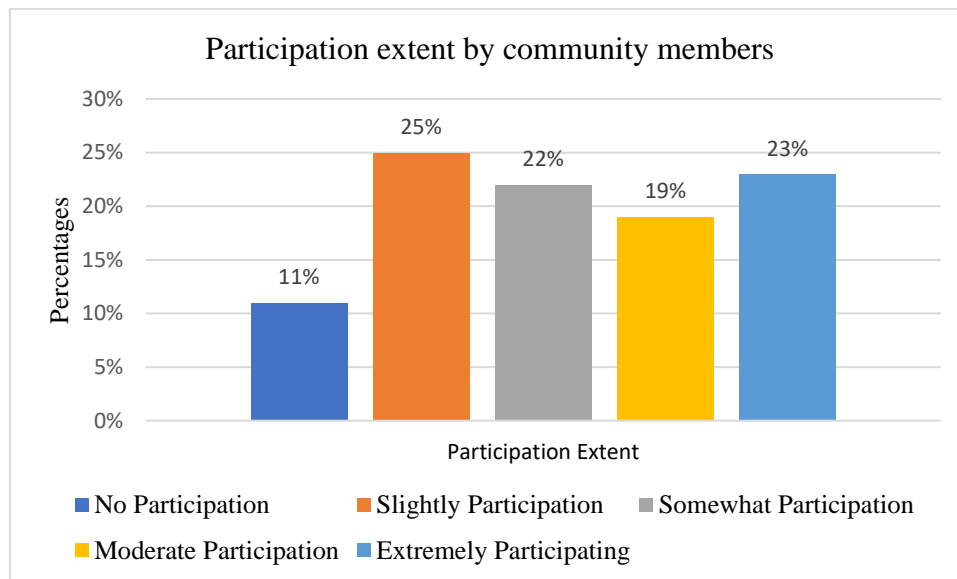


Figure 10: Community participation in decision making in Diepsloot projects  
Source: Own construction (2019)

Graph shows that the community participate in decision making with an extreme participation of 23% and moderate participation of 19%, somewhat participation of 22% and 25% of slightly participation. This shows that the community participate where possible, however, there is 11% of no participation which the municipal official considers putting effort in the mechanism that can encourage everyone to participate in upgrading projects as well as motivating everyone to participate extremely in the decision-making processes for Diepsloot informal settlements upgrading projects.

***Community participation challenges***

Participatory activities can lead to a project failure and discourage community members from participating. A low income or no revenue is the main challenge facing respondents with their participation. Hussein (2003:271-282) argued that it is in no way possible to engage in a situation with high living costs, poor economic conditions and diminished citizens' peace of mind. The community needs certain incentives in this case. Further reports have shown that low-income groups have not been involved in both project decision-making and growth processes. Individuals (community members) are often less likely than less diverse communities to participate because of employment, wealth, sex age or politics (Botes & Rensburg, 2014:48).

In the population that does not participate, the shortage of project capital plays an important role. Dube (2004:22) says most projects tend to be isolated and hindered by the lack of capital and networking.

Conflicts and mistrust are also listed as a challenge to participation by respondents. It is difficult to engage successfully if the atmosphere is not conducive. In addition, if people don't trust one another, conflicts may lead to members being demotivated. This assumption confirms Oakley (2011:13) view that rural people share their deprivation, but many factors that separate them and generate mutual distrust that could result in a lack of participation.

There is also a risk that the public lacks involvement at the start of projects. The respondents stated that they did not participate in the project and therefore did not feel the need to participate, so long as the decisions on their behalf were already made. Everatt (2005:33) acknowledges that some projects have issues where members of the community will not be active at later stages because the community has been removed during the design and planning phase.

Diepsloot Extension 13 is an area with a plurality of illiterate people and is a big participatory issue. The respondents said the issue of illiterate contributes to low self-esteem. It is common knowledge that if project members lack the skills required, this will affect the sustainability of the project and eventually lead to the project's failure.

Several interviewees have expressed fear and disinterest. We pointed out that including politicians or political issues in carrying out the projects puts the project's progress at risk as politicians use it as a promotional tool for the governing party, which will lead to a loss of interest in the project for members of opposition parties. Hussein (2003:278) and Dube and Burger (2017) findings suggest that political factors can discourage political processes and community involvement and development activities in this study have been verified. Ngubane (1999:22) points to the ineffectiveness and willingness to take part in community activities due to the political factors. The report concluded that, through initiatives such as capacity-building, civic education and training and development programs at all levels, effective community involvement in development must be pragmatically addressed in local and social economic factors that negatively affect community development.

The group has encouraged the participation of other players, including the local and district authorities, because of the above challenges. They also decided to take responsibility for these challenges or issues and called for feedback on the progress of the projects and consultation.

Such problems mean that the Johannesburg Municipality Housing Department has a major administrative and financial management problem.

The response to the challenges of involvement by officials in the Johannesburg Municipality Housing Department is consistent with most of those identified by members of the Community. The following responses from officials, however, illustrate how these participatory issues can be addressed:

*“By improving better services and project coordination from government”*

*“Establishing proper communication channels to understand the community needs and intended plans to address those community needs”*

*“Giving the community members the chance to prioritize the projects”*

*“It is important to establish the correct project plan in business format that is aligned to community needs and government plans”*

The citation from the officer of the Johannesburg Municipality of Housing shows that the officials know some of the problems and have plans to fix them. Nevertheless, the obvious lack of these answers lies in the assumption that from the outset the group must engage in a pragmatic decision-making process, starting with the selection of initiatives in line with Community needs. This is the most important challenge facing officials who can technically only grasp but not enforce the principle of engagement in action. It is believed that effective and efficient involvement by the public is assured, if all these issues are taken into consideration, discussed and enforced accordingly.

***With regard to the building of the houses, to what extent the municipal officials participate?***

Mayor Herman Mashaba of Johannesburg asked the National Treasury for urgent action in the City conflict over a R180 million shift in funding to the provincial government, something that will impact the Diepsloot community who wait for their own houses (Joburg Newsroom, 2019)

The information was announced when Mashaba visited and walked with media members of the Riverside Housing Project in collaboration with the MMC for the MMC Housing Meshack van Wyk. Riverside is a housing program (RDP) that is designed to help 1 485 families in the Riversands area of Diepsloot, currently waiting for their housing (Joburg Newsroom, 2019).

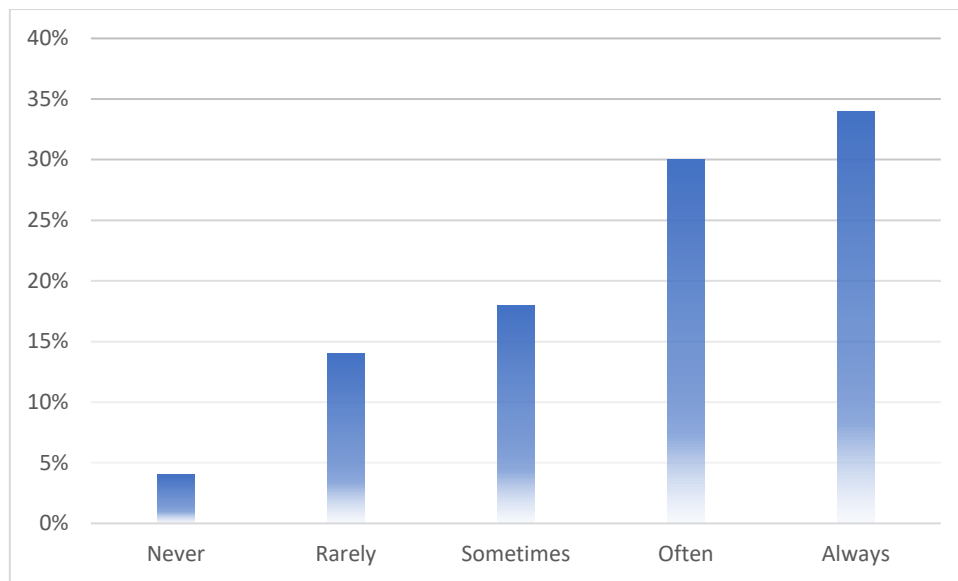


Figure 11: Officials participation in projects regarding building of houses  
Source: Own construction (2019)

With regard to the announcement, the officials were interviewed in order to find out that they participate in the building of houses such as looking for funding, managing the project from start to end and that they engage entirely with the residents regarding building of houses. This graph shows that most of the municipal officials which is indicated by 34% they do play a big role in building of houses, which is followed by 30% who participate more often, followed by those who participate sometimes 18% depending with their responsibilities at that moment, followed by those who rarely participate which is 14% and lastly 4% of those who never participate in house building projects. These results indicate that most municipal officials are hands on, there is just a minority that needs to join the cue and be part of the housing development for the residents of Diepsloot.

### ***Effectiveness of the policies, legislations and acts governing community participation in the city of Johannesburg***

In-situ upgrading in settlements across the globe has increasingly improved, as it tackles deteriorating settlement conditions without disrupting recipients' lives (Boon et al. 2013). In-situ upgrading is the ideal approach. Nonetheless, the outcomes of the implementation remain limited given improvements in policies and programmes. The South African constitution for post-apartheid provides for the inclusion of the population in local building, execution and evaluation of integrated development planning. Contemporary perception of community participation in South Africa is expected to be told of a radical form of engagement against the racist apartheid state through memory of community struggles.



This means that neighbourhoods have a richly textured tradition of political agitation against local government exclusion and discriminatory practices. Precisely in this array of progressive approaches, the needs of socially marginalized communities at local level are to be promoted and adapted. People driving' development programs have so far been mainly symbolic and not concrete by integrated development plan (IDP) for post-apartheid South Africa in general, Johannesburg in particular (Kinyoda, 2008). Therefore, the enduring problem of the grassroots issue persisted in the context of the community's participation. The below graph represents the effectiveness of the policies, legislations and other forms of laws governing community participation as perceived by the municipal officials. The municipal officials stated that the policies and legislations are 2% strongly effective because there is lack of implementation.

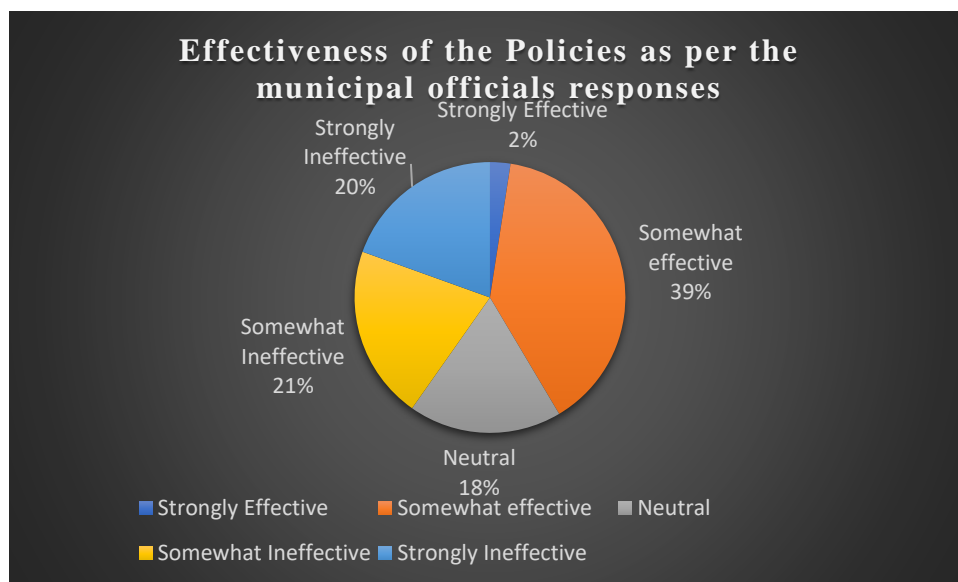


Figure 12: The effectiveness of the policies, legislations and Acts governing community participation at COJ  
Source: Own construction (2019)

### ***Prevention of less participation in the past upgrading projects?***

The Acting Director of the Johannesburg Municipality Housing Department claimed that there are two primary forms of democracy to be followed: a) a representative—where people elect representatives to make decisions on their behalf. Local councillors are elected to represent their interests in the municipal council directly by residents. They seek an election mandate from the electorate. It is a democratic form of democracy. b) Democracy of choice—where people make their own decisions. The decision-making process includes all involved and no individuals will take decisions on their behalf. This can work in small groups or organisations in which everyone can talk about and agree a question (Robinson & Green, 2010).

The parents of a school meeting would be an example of participatory democracy to determine whether the school uniform should be changed. A combination of representative and participatory democracy is required for effective local democracy. Elected councillors should be consulted as far as possible before making the final decisions. When they are elected to the council, councillors seek a mandate from communities. Elections take place every five years at the local government level. Among elections, Council decisions affect local residents' lives. Communities are constantly changing. They face daily difficulties. The issue is also evolving in nature and cause over a time.

All adjustments and residents' desires must be addressed to therapists. Therefore, councillors must keep people informed of Council decisions. Communities must be in contact with their council work in order to make governance meaningful. For a councillor, every five years, governance is more than voting. The legislation regulating local governments guarantees the involvement of citizens in decision-making through different methods, e.g. ward committees, advisory sessions, community input on matters and stakeholder meetings. The engagement and strengthening of the people in the democratic process is not just a vote.

***Strategy to maintain/enhance community participation between the city of Johannesburg and the community of Diepsloot***

A concept that has been embraced in all policy domains in South Africa is democratic participation. It is necessary to engage to ensure that governments react most effectively to the real needs of communities. Participation also leads to creating an informed and responsible society with a sense of policy growth and project ownership. It enables municipalities to get buy-in and establish stakeholder relationships.

Municipal officials answered that several acts make consulting or educating the public mandatory for municipalities. It is often seen as something politicians and leaders are pressured to do instead of being supported. Some of them are afraid of facing the public, as reporting or meetings can easily become platforms for grievances and protests against issues or non-presentations. A hall filled with angry people is not easy to face.

Participation is one of the cornerstones of our democracy and has similar benefits for the legislature and civil society: participation will assist the Council in making better decisions based on the true needs of people; the more educated the public, the more they understand the

government's goals and the constraints of budgets and resources; Counsellors can only claim responsibility for them if they have frequent meetings and consult and report on key Council decisions, and the Government cannot respond to all development needs on its own. Partnerships are needed with communities, civil society and businesses in order to enhance the quality and advancement of services. He added that a number of people, systems and processes are available in every municipality to play a role in public participation.

- ***The mayor*** - The Mayor is the municipality's public face and is to be used for major government conferences, community citizens ' forums and the media.
- ***Ward councillors*** – The Ward Councillors represent particular communities and are ideal for linking people to municipalities – bringing the needs and problems of people to localities and consulting and informing the community around municipal services and programs. The Wards Councillors represent specific communities.
- ***Ward committees*** - Ward committees in communities come from different sectors. In each ward ten representatives are elected to assist the ward counsellor and to increase the involvement of the community. It can be useful for information dissemination, needs evaluation, relationship building, public engagement and local services issues.
- ***Community development workers (CDWs)*** - Community development staff were mobilized to ensure people have access to government services in the communities. We need to provide advice, support people with problems, identify needs and build relationships with government and local organisations. Generally, they know the group well, have good contacts with organisations and are able to consult, conduct analysis, disseminate information and track their implementation.
- ***Stakeholder forums*** - There are already many different forums, such as community police fora and IDP forums. For specific projects and programs, other fora consisting of stakeholders should be identified. Fora are very useful both to consult quickly and constantly as well as to create community-government partnerships.
- ***Community liaison officials*** - Many cities have community service workers-they should be used as part of any public participation and public outreach project.
- ***Media*** - In addition, the city has access to its own news, such as advertisements, charges and water bills, etc. It can be used to disseminate price information, new plans, budget priorities etc. Commercial media and radio should also be used to inform people, and to contact individuals in some cases such as television programmes.

### **4.3. Summary**

In summary, the results and review of the information gathered from members from Diepsloot Extension 13 (as the key representatives) and from the officials of the Departmental Municipality of Housing in Johannesburg are covered in this section. The chapter also covered the profile of those involved, the context of community participation and the problems and the resources of the community for addressing the needs of the community. The respondents usually suggested that they did not participate in the project development. Some of them said they had participated in the planning stage when most indicated their involvement in the project execution. Specific hierarchical decision-making mechanisms have been exposed in small group discussions. Ordinary members of the community are not freely involved in development projects as political loyalty sometimes plays a major role. The following section sums up the conclusions and offers answers to questions posed in chapter 1. It also addresses crucial participatory issues and gives suggestions for future research.

## **5. CHAPTER 5: SUMMARY, CONCLUSION AND RECOMMENDATIONS**

### **5.1. Introduction**

This section puts together the key findings and the study's conclusions and guidance. This research aims to examine the problem of community engagement in the development of the informal Diepsloot settlement in northern Johannesburg. The City of Johannesburg has taken steps to upgrade the settlement in response to the settlement's living conditions. Qualitative analysis was used to determine the degree to which the Group of Diepsloot took part in upgrades. In order to collect information, primary and secondary data were used. The data were analysed using descriptive statistics. The results are presented in the following section based on the aims and objective of the study.

### **5.2. Summary of key findings**

The study showed that members of the community are aware of the concept of community participation. Participation in development projects were defined as "taking part," "engagement" and "foster." On the other hand, the officials showed more theoretical understanding of the concept of community involvement in development initiatives. They defined it as a form of action or participation in project decision-making as well as empowerment process. It indicates that, unlike members of the community, officials theatrically understand what involvement and value of the community participation.

41% of respondents reported that no opportunity was provided for project identification and priority. Only a minority (25%) attended initiation meetings and others seldom participated in meetings because they thought somebody else decided the projects already. This research also showed a lack of information and accountability about the projects. The study reported that the number of participant participants was limited, with 44% suggesting that they participated in the project in part and most suggested that they were involved only in the project implementation stage and not participating in the project initial, planning and evaluation stages (Figure 4).

The field's evidence has shown that the difficulties of involvement are the lack of resources, economics, low income, illiterate, insufficient information and accountability, lack of commitment, long travel distances, costs and long hours of work. Such issues play a very important role in and influence the community's involvement. Many respondents reported lack of data on the requirements used in the construction projects process and any other project-

related issues. In decision-making they felt that they were not motivated, but otherwise empowered. They further stated that they are engaged in the projects because they have no other alternatives.

The conclusion from this study shows that the lack of analysis of policy implementation or program operations has not brought about continuity and slow performance in community projects. Conferences are important and considered a forum, among other things, to prepare, learn, share views and ideas and to elect leaders. In fact, empirical evidence has shown that community meetings in which participatory planning is supposed to take place and most decisions are seldom made. There were barely any meetings attended by poor members of the community and people with disabilities and they were not always represented at those meetings.

During the data collection time, the researcher observed that most people only wanted to develop the area they lived in and generate income. Of course, it could be seen on the surface as being unacceptable, but the underlying issues could have been deeper. Progress is not happening overnight. Commitment also means that participants must give up their personal time to engage in the development of the project.

### **5.3. Conclusion**

In informal settlement improvement projects or in any form of development, community participation plays an important role. The community's participation in the projects will start at the beginning of the project and continue throughout the project. The key argument for the cycle of participation according to Swart (1997) lies in the community participation in decision making which allows people to make choice and speak in more general terms in their lives and in the immediate context of their development programmes. And participation is always related to participant empowerment (Mautjana, 2014).

Officials of government should not force their proposals on marginalized societies. The intensity and the needs in their own work with informal communities are essential to government officials. The idea is that as government targets the population, more people can engage in and play a meaningful role in their development projects (Clearly et al, 2014). In contrast, the lack of government services to the community plays a significant role in people's engagement. Service reliability is strongly linked to government efficiency regulations

(Gwaibi, 2016). It indicates that, at least partially, a weak responsive culture may be attributed to failures to provide public services.

The problems of sustainability stem from inadequate communication and coordination between the housing department and the public in the municipality of Johannesburg. This is the main challenge leading to a lack of awareness of the goals of community projects and project activity, which often discouraged participants from being informed of meetings. There are a number of ways of involvement, from government intervention in community development projects to the participation of citizens in state-led management. Such methods are not exclusive and often occur concurrently (ADB, 2006). The projects implemented by the community are primarily aimed at eliminating poverty by emphasizing food security for most citizens, particularly those who receive projects. The failure of programs to achieve these goals results in the government's development plan having negative implications.

It is argued that accountability is necessary in order for well-informed participation to take place. It has been claimed that the most affected people should have a say in a decision, while the least concerned should have a say. The involvement of rural communities in their projects will also allow them to monitor development processes, in particular the decision-making process.

Through engaging completely in developing projects, participation is no longer simply a matter of "who talks" but a true involvement of people in determining and shaping their own creation. Hussein (2003) stresses the need for civic support and awareness to ensure that people are intelligently involved in local development issues / projects. Cohen and Uphoff (2016:213-235) suggest that engagement is a way of establishing goals, agendas and actions comparable to justice and democracy. This approach includes You feel that people need the opportunity to participate in any development process, preparation, implementation and evaluation whatever it is. It is the people themselves who decide about the direction, change in, and trend of development programs and projects.

In Diepsloot extension 13 it was found that the project worked when participatory levels were high and if the group distanced itself from the project, the project failed sharply. In fact, all initiatives that failed were primarily due to lack of participation in the group. Nevertheless, since the projects are located in deep rural areas, the geographical position of these projects remains a challenge. The cost to provide a basic infrastructure package can therefore be twice the cost in other areas of development. (Dorosh et al, 2008).

The development strategy must be improved, as required prerequisites for involvement in developing projects, by promotion of education, socioeconomic livelihoods, social mobilisation and advocacy. It is expected that the project will be successful, and it will also be easier for community members to take a full part in the projects if preparation is given between the start and the end of the project. This will also allow members to learn soft skills including communication and conflict resolution and to contribute to the foundation laid at the beginning. In turn, learning is also meant to be an empowerment tool. The learning is related to sustainability; as long as participants have completed training, the projects are supposed to be sustainable as team leaders are educated in the information process. The information can be passed on to other facets of community life.

The study examined how far informal settlements engage in community development programs. This study concludes that community members do not engage authentically in their own creation because the plan is not included from the outset. The report also discussed the barriers to engagement in the group and how to overcome these obstacles. The following is a summary of the suggestions both from the community and from the officials:

- The officials of the Johannesburg Housing Department said that better services and project management from the government will tackle these challenges; create adequate communication systems to recognize the needs of the community and the proposals designed to address these needs of the community; give community members the opportunity to prioritize the projects and develop the necessary solutions.
- The Community has been involved in all stages of the project; provides proper training, good leadership, and resources for other stakeholders such as the local and district municipalities. He also called for consultation and input on the success of the programs.

The objectives of the study as specified in chapter one, have been achieved by getting relevant information from the residents regarding the objectives to be achieved. The first objective which was to analyse how the community perceive community participation, it was achieved by asking the respondents how they perceive community participation and different responses were acquired. The residents showed that some deem community participation, and some do not value it. The second objective which was to understand the procedures taken in conducting community participation was achieved by interviewing the municipal officials regarding the processes and procedures they follow when conducting interviews at Diepsloot. This showed



that the municipal officials still follow procedures that do not favour the residents that much but procedures that ticks that the community participation was done on their side.

The third objective which was to showcase if the community is happy with the level of community participation in the area was achieved by getting the progress of the community regarding development and the community still have challenges and problems regarding participation programmes and the procedures that are followed. The last objective regarding possible international best practices that can promote and enhance community participation was achieved through looking how other places conduct their participation processes and how were challenges face by those places which now have a strong participation progress. This enabled to get ideas on how the community of Diepsloot and the municipal officials can bring about competent participation and great development for the area, the practices are listed in the recommendations section.

#### **5.4. Recommendations**

A number of recommendations were taken from the results of the report, intended to contribute to community participation and the awareness of the theory and the value of community participation in rural development projects. This may be relevant in other rural development programs as well as projects at the Diepsloot Extension 13 and beyond:

- Government will assist the public in making a strong commitment to development involvement. The role of the Government is to promote the idea of a bottom-up approach for development; to concentrate its staff on the participatory approach, and to engage practically the Community in decision-making processes during the creation, implementation and evaluation of the project Hussein (2003:276).
- The structured meetings are necessary to review the plan adopted and the actual output versus the defined performance for the sustainability of community projects. The current study indicates that the absence of meetings is linked to poor project results. For this reason, frequent formal meetings will take place every two weeks in all community projects to address these results of the study.
- The degree to which the public has been educated and motivated to take charge of the project is another important element to the success of Community participation. The group must be prepared, informed and conscious of the value of its engagement for its well-being. Therefore, it is recommended to have proper training.

- The public and not the authorities should be responsible for the project in order to support the project and to ensure involvement. The public should have clear information about the project.
- In particular, the management and facilitation of community development programs needs to improve service delivery. Members participating in the projects should be encouraged to continue to engage in innovations, improve their standard of living and level of participation.
- The government needs to build capacity at all level to promote and enable community engagement in rural development projects, to reduce the time it takes to work and to recognize non-income and low-income issues in order to facilitate substantive and successful participation of the community, especially the young.

The important practices recommended to promotes and enhance community participation established in chapter 2, these practices are vital elements for municipalities to consider when they undertake any development strategy or activity that affects a community directly:

*Meaningful engagement:* This is a two-path process in which the district and those going to end up destitute converse with one another seriously to accomplish certain targets.

*Individual engagement:* The engagement process shows care for the dignity and respect of individual householders. It empowers government to comprehend the requirements and worries of individual householders so that, where conceivable, it can find a way to meet their worries (Dept of Human Settlement).

*Respect and partnership:* Common regard and settlement of one another's worries ought to be the fundamental focal point of significant commitment.

*Mutual consensus:* Commitment does not require the gatherings to concur on each issue. The objective ought to be to discover the commonly worthy answer for the troublesome issues that stand up to the legislature and inhabitants when giving satisfactory housing.

*Adequate consultation:* Affected communities should be given adequate notice and they should be advised of their legal rights, as well as provided with adequate information pertaining to possible available remedies.

*Active participation:* Involves the establishment of a community development forum where the community actively engages the municipality regarding access to adequate housing, provision of basic services and incremental upgrading (Teo, 2015).

These practices are vital elements for municipalities to consider when they undertake any development strategy or activity that affects a community directly

This study was based on a case study analysing community involvement evaluation in informal initiatives improving settlements. The study is expected to contribute to the ongoing debate on community participation in informal settlements to upgrade projects and to influence policies and approaches in one way or another that could create a climate conducive to community participation in informal settlements to upgrade projects. Most importantly, the study also hopes to encourage and promote the participation of the community in informal settlements upgrading projects.

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## 6. APPENDIXES

### APPENDIX 1: Consent to take part in research

**Title of project:** *The question of community participation in informal settlement upgrade projects. A case of Diepsloot*

I..... voluntarily agree to participate in this research study.

- I understand that even if I agree to participate now, I can withdraw at any time or refuse to answer any question without any consequences of any kind.
- I understand that I can withdraw permission to use data from my interview within two weeks after the interview, in which case the material will be deleted.
- I have had the purpose and nature of the study explained to me in writing and I have had the opportunity to ask questions about the study.
- I understand that participation involves answering questions the researcher will ask about community participation.
- I understand that I will not benefit directly from participating in this research.
- I agree to my interview being audio-recorded.
- I understand that all information I provide for this study will be treated confidentially.
- I understand that in any report on the results of this research my identity will remain anonymous. This will be done by changing my name and disguising any details of my interview which may reveal my identity or the identity of people I speak about.
- I understand that disguised extracts from my interview may be quoted in the dissertation.
- I understand that if I inform the researcher that myself or someone else is at risk of harm, they may have to report this to the relevant authorities - they will discuss this with me first but may be required to report with or without my permission.
- I understand that signed consent forms and original audio recordings will be retained in University of Johannesburg until results of the dissertation are confirmed
- I understand that a transcript of my interview in which all identifying information has been removed will be retained for 5 years.
- I understand that under freedom of information legalisation I am entitled to access the information I have provided at any time while it is in storage as specified above.
- I understand that I am free to contact any of the people involved in the research to seek further clarification and information.

Thembisile Lubisi

Masters in Sustainable Urban Planning and Development

thembinina@gmail.com

Supervisor: Mr Onatu, gonatu@uj.ac.za

Signature of research participant

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Signature of participant

Date

Signature of researcher

I believe the participant is giving informed consent to participate in this study

-----

Signature of researcher

Date

## **APPENDIX 2:                      Group discussion information sheet and consent form**

**Title of Project:** *The question of community participation in informal settlement upgrade projects. A case of Diepsloot*

Organizers:    Thembisile Lubisi  
                      Masters in Sustainable Urban Planning and Development  
                      University of Johannesburg,  
                      Faculty of Engineering and the Built Environment  
                      Department of Town and Regional Planning

This session focuses on community participation that took place in past projects that took place in Diepsloot and will be facilitated by Councillor Mphahlele Kate of Diepsloot Ward 95 which is not affiliated with the university.

Participation in this session is voluntary and involves an hour input to and discussion of the issues associated with community participation in informal settlement upgrade projects. There are no known or anticipated risks to your participation in this session. You may decline answering any questions you feel you do not wish to answer and may decline contributing to the session in other ways if you so wish. All information you provide will be considered confidential and grouped with responses from other participants. No faculty members will be present during the session and your name will not be identified with the input you give to this session. Further, you will not be identified by name in the report that the facilitator produces for this session. The information collected from this session will be kept for a period of five years in University of Johannesburg.

Given the group format of this session we will ask you to keep in confidence information that identifies or could potentially identify a participant and/or his/her comments. If you have any questions about participation in this session, please feel free to discuss these with the facilitator, or later, by contacting the researcher. If you are interested in receiving a copy of the executive summary of the session outcomes.

This study has been reviewed and received ethics clearance through a University of Johannesburg Research Ethics Committee.

For all other questions contact Thembisile Lubisi at [thembinina@gmail.com](mailto:thembinina@gmail.com)

Thank you for your assistance with this project.

Yours sincerely, Thembisile Lubisi

**APPENDIX 3: Agreement to participate**

By signing this consent form, you are not waiving your legal rights or releasing the investigator(s) or involved institution(s) from their legal and professional responsibilities.

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I have read the information presented in the information letter about the session being facilitated by Councillor Kate Mphahlele for Thembisile Lubisi. I have had the opportunity to ask the facilitator any questions related to this session, to receive satisfactory answers to my questions, and any additional details I wanted. I am aware that I may withdraw from the session without penalty at any time by advising the facilitator of this decision.

This study has been reviewed and received ethics clearance through a University of Johannesburg Research Ethics Committee.

For all other questions contact Thembisile Lubisi at thembinina@gmail.com.

With full knowledge of all foregoing, I agree, of my own free will, to participate in this session and to keep in confidence information that could identify specific participants and/or the information they provided.

---

Print Name

---

Signature

---

Date

---

Witness

**APPENDIX 4: Interview Schedule for Diepsloot Informal Settlement**

**Complete questionnaire by:**

- I. Marking with a cross ☒ in the space provided,
- II. Filling in the required information in the space provided

**1. What is your home language?**

☐ Venda

☐ Sotho

☐ Zulu

☐ Sepedi

☐ Other

**2. Gender**

☐ Female

☐ Male

**3. Age**

☐ 18-21

☐ 22-35

☐ 36-50

☐ 51-75

**4. Educational Qualification.**

☐ No Education at all

☐ Primary Education

☐ Grade 8 – Grade 10

☐ Grade 11 – Grade 12

☐ Under Graduate

☐ Graduate

☐ Post Graduate

**5. Do you take part in community meetings?**

☐ Yes

☐ No

**5.1.If not participating what is the reason for not participating?**

☐ Do not understand the process

☐ Do not trust the facilitators of public participation

☐ Do not have time

☐ There is no specific reason

☐ Other

**6. How were the current community leaders elected in this community?**

☐ Popularity

☐ Favouritism

☐ Leadership skills

☐ Availability

☐ Fearfully

☐ Other

**7. Were you participating in their election?**

☐ Yes

☐ No

**8. Would you participate in meetings where projects are identified?**

☐ Yes

☐ No

**8.1.If not, what could be the reason for not participation?**

☐ Not important

☐ Do not like being in a crowd

☐ I do not care

☐ Scared to participate

☐ Other

**9. What mechanisms could be used to motivate you to participate in meetings where issues affecting you and the community are discussed?**

☐ Compensation

☐ Transparency

☐ Taken seriously

☐ Understanding the processes involved

☐ Convenient time

☐ Other

**10. To what extent have you been participating in deciding the arrangements of the township layout?**

☐ No extent

☐ Slight extent

☐ Moderate extent

☐ Extreme extent

**11. Did the City of Johannesburg do any effort to encourage you to participate in community upgrading projects?**

☐ Yes

☐ No

**11.1. If yes, what did the municipality do?**

☐ Pamphlets were distributed

☐ Local radio broadcasting

☐ Community meetings

☐ Other

**12. If you wanted to know the processes and procedures followed in community participation would it be difficult to get the information?**

☐ I do not know

☐ Not difficult at all

☐ Very difficult

☐ Impossible

**13. What do you think about community participation?**

☐ Absolute inappropriate

☐ Inappropriate

☐ Lightly inappropriate

☐ Neutral

☐ Slightly appropriate

☐ Appropriate

☐ Absolute appropriate



**14. What do you think the City of Johannesburg could have done to prevent the low community participation in the past upgrading projects?**

.....

.....

.....

.....

**15. What is the level of trust between the community leaders and the community member regarding community involvement in upgrading projects?**

☐ No trust

☐ Minor trust

☐ Moderate trust

☐ Major trust

**16. What do you think could have been done by you, as a community member, to encourage community participation in the upgrading projects?**

☐ Lead by example

☐ Arrange community meetings

☐ Seek more information

☐ Explain to those who do not understand

**17. Is community participation important looking from the past experiences of community participation in upgrading projects?**

☐ Not at all important

☐ Low importance

☐ Slightly important

☐ Neutral

☐ Moderate importance

☐ Very important

☐ Extremely important

## **INTERVIEW SCHEDULE FOR THE MUNICIPAL OFFICIALS**

### **Complete questionnaire by:**

- I. Marking with a cross ☒ in the space provided,
- II. Filling in the required information in the space provided

### **1. How would you define community participation?**

- ☐ Involvement of people in community projects to solve their problems
- ☐ A process whereby those with a legitimate interest in a project influence decision which affect them
- ☐ Ways in which citizens exercise influence and have control over the decisions that affect them'
- ☐ The participation of the poor and others who are disadvantaged in terms of wealth, education, ethnicity or gender
- ☐ Other

### **2. To what extent has the community been participating with regard to decision – making in the informal settlements upgrading projects?**

- ☐ No participation
- ☐ Slightly participation
- ☐ Somewhat participation
- ☐ Moderate participation
- ☐ Extremely participation

### **3. Are there any problems that have been experienced regarding community participation with the community members and developers?**

- ☐ Yes
- ☐ No

**3.1.If yes, what problems?**

- ☐Conflicts
- ☐Disrespect
- ☐Mistrust
- ☐Misunderstandings
- ☐Other

**4. With regard to the building of the houses, to what extent will the municipal officials be participating?**

- ☐Never
- ☐Rarely
- ☐Sometimes
- ☐Often
- ☐Always

**5. How effective are the policies, legislations and acts governing community participation in the city and its townships?**

- ☐Strongly effective
- ☐Somewhat effective
- ☐Neutral
- ☐Somewhat ineffective
- ☐Strongly ineffective

**6. What could the municipal officials have done to prevent less participation from the community in the past upgrading projects?**

.....  
.....  
.....  
.....

**7. How do the officials of the municipality plan to maintain/enhance community participation between the city of Johannesburg and the community of Diepsloot?**

.....  
.....  
.....  
.....